AN APPRAISAL OF THE CASE METHOD AS A TECHNIQUE FOR DEVELOPMENT OF LEADERSHIP IN OFFICERS OF THE UNITED STATES NAVY.

Ashley Jewell Little

Thesis
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AN APPRAISAL OF THE CASE METHOD AS A TECHNIQUE FOR DEVELOPMENT OF LEADERSHIP IN OFFICERS OF THE UNITED STATES NAVY

Abstract of

A Thesis

Presented in Partial Fulfillment of the Requirements for the Degree Master of Business Administration

By

ASHLEY JEWELL LITTLE, B.S.

The Ohio State University

1952

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AN APPRAISAL OF THE CASE METHOD AS A TECHNIQUE FOR DEVELOPMENT OF LEADERSHIP IN OFFICERS OF THE UNITED STATES NAVY

ASHLEY JEWELL LITTLE

B.S., United States Naval Academy, 1940

Department of Business Organization
(Approved by James H. Healey)

This study is a qualitative appraisal of the case method of instruction, with particular emphasis upon those characteristics which might make it a valuable technique for the development of leadership in officers of the United States Navy. It was inspired by the lack of a continuing formal program within the navy for leadership development of officers.

The research consisted of a survey of pertinent literature, supplemented by personal interviews with a few men who have had experience with the use of the case method in both the educational and industrial fields, and by written inquiries addressed to others who could not be interviewed.

In order to establish a standard for appraisal, it was deemed necessary to review the current consensus as regards the nature of leadership and the nature of learning and how they relate to the development of leadership.

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The theory and characteristics of the case method and its uses and the results were discussed, followed by a description of a proposed case method leadership development program for the navy.

Findings from the study seem to support the conclusion that a formal leadership development program for naval officers is needed; that such a program should be based on a dynamic concept of leadership which calls for two-way communication and a scientific rather than a bureaucratic trend of mind; and that the case method of instruction possesses substantial potentiality as a technique for such development because of its ability to inculcate self-insight and to stimulate objective problem-solving ability in the field of human relations.

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Professors Ralph M. Hower, Kenneth R. Andrews, and Joseph C. Bailey of the Graduate School of Business Administration of Harvard University gave generously of their valuable time in order to give the author better insight into the type of case method which they employ. In addition, appreciation is expressed for the loan of an advance copy of the manuscript of The Case Method of Teaching Human Relations and Administration, edited by Dr. Andrews.

Professor Karl A. Boedecker of Michigan State College and Dr. John W. Riegel, of the Bureau of Industrial Relations at the University of Michigan, aided materially with comments on the use of the case method in both education and industry, and by suggesting other authorities to contact.

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the case method in business.

Finally, the assistance rendered by the Training Research Section of the Bureau of Naval Personnel and by other industrial organizations which provided information for this study is acknowledged.

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AN APPRAISAL OF THE CASE METHOD AS A TECHNIQUE FOR DEVELOPMENT OF LEADERSHIP IN OFFICERS OF THE UNITED STATES NAVY

CHAPTER I

INTRODUCTION

Statement of the General Problem

"The successful military leader must be, among other things, a solver of problems."[1] The ability to solve problems in the realm of human relations is a cornerstone of dynamic leadership and a basic ingredient in the make-up of the successful military officer. The lack of a continuing formal program within the United States Navy for the development of this particular problem-solving ability among officers has inspired this study; the discussion which follows presents an analysis of the characteristics of an instructional method believed to possess distinct value as a means of developing and sharpening the ability to recognize, analyze, and solve the day-to-day human relations conflicts encountered within the climate of a military organization.

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[1] Naval Leadership (Annapolis, Md.: U.S. Naval Institute, 1949), p. 3.

CHAPTER I

INTRODUCTION

In order to assure steady progress toward more effective leadership it is necessary to effectuate a continuing growth of executive qualities within the military leader. Ever since the days of John Paul Jones, development of naval leaders has been accomplished through formal and informal professional training programs and through the tradition of understudying the performance of one's superiors in the field of human relations. The formal and informal programs have produced satisfactory results in advancing the technical and professional knowledge of the individual. In the area of leadership, however, the understudy procedure has been limited in its effectiveness by the lack of clearly defined criteria that the understudy could employ to assist him in deciding which behavior patterns to emulate and which he should reject. If the psychologists ever succeed in defining those criteria in objectively meaningful terms, it should be a relatively simple task to design training procedures which will develop the requisite qualities in any individual possessing the necessary innate abilities. Today's problem of leadership development, however, continues to be an extremely complex one, because the training objectives must be based upon criteria which are preponderantly subjective, and about which there

are many varying schools of thought.

The Specific Problem

The problem with which this study will be concerned, therefore, is the selection of a formal instructional program which might serve to enhance the development of military leadership. The specific technique to be appraised is the case method of instruction, with particular emphasis on the applicability of this method to the development of leadership among officers of the United States Navy.

Importance of the Problem

Rear Admiral James L. Holloway, Jr., while superintendent of the Naval Academy, submitted in the Foreword to Naval Leadership that the paramount role of a naval officer is that of a leader. Furthermore, the importance to the military leader of the ability to deal with people was well expressed by Fuller when he stated that "military history is a flesh-and-blood affair, not a matter of diagrams and formulas or of rules; not a conflict of machines but of men."[2] He also called attention to the fact that "Napoleon did not gain the position he did so much by a

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[2] John F. C. Fuller, Generalship, Its Diseases and their Cures; a Study of the Personal Factor in Command. (Harrisburg: Military Services Publishing Company, 1936), p. 24.

are very varying schools of thought.

The possible problem

The problem also which into study will be considered, therefore, is the selection of a formal institutional arrangement which might serve to enhance the development of military leadership. The specific technique to be developed is the case method of instruction, with particular emphasis on the applicability of this method to the development of leadership among officers of the United States Navy.

Importance of the problem

Some national forces (, military, etc., might supportability of the Naval Academy, established in and Naval Postgraduate School, the paramount role of a naval officer is that of a leader. Furthermore, the importance of the military leader of the ability to deal with people is well appreciated by rather some to assume that "military [illegible] [illegible] [illegible]

study of rules and strategy as by a profound knowledge of human nature in war."[3] Despite general acceptance of this postulate concerning the importance of positive leadership, there is so much evidence of the practice of negative leadership by naval officers that the need for a formal program of development is clearly indicated.

With the advent of more complex modes of warfare an even greater emphasis upon skill in handling human relations has become necessary, especially because of the need for greater teamwork and cooperation. The military leader of today must be capable of extracting the best possible performance from his men, for even that best will not measure up to the technical possibilities of the modern machines of war. Marshall has expressed this problem in the following manner:

> "The mechanisms of the new warfare do not set their own efficiency rate in battle. They are ever at the mercy of training methods which will stimulate the soldier to express his intelligence and spirit ... It has been readily seen that the prevailing tactical conditions increased the problem of unit coherence in combat. The only offset for this difficulty was to train for a higher degree of individual courage, comprehension of situation and self-starting character in the soldier."[4]

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3. Ibid., p. 25.

4. Samuel L. A. Marshall, Men Against Fire (Washington: Infantry Journal, 1947), p. 22.

The conventional concept of a doctrine for military training demands the sacrifice of individuality in the interest of efficiency through mass reflex action. The new concept of the role of the common fighting man described above seems to indicate that this conventional concept should be reexamined. If the training objective is to develop the self-starting characteristic within the soldier or sailor, can the training methods for both officers and enlisted continue to place stress solely upon the close-order concept of absolute unquestioning obedience? If the fighting man of today is expected to develop proficiency in the type of technical military climate that surrounds him, he surely must be trained by a method which will tend to draw out his individual power within limits which are for the good of all, rather than by the historic method which seeks to imbue in him blind obedience. "In war, as in peace, individuality is far more important than uniformity; personality than congruity, and originality than conventionality."[5]

What change, then, is indicated in the training of an officer in non-technical areas? If he is to accelerate the development of the originality of those beneath him,

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[5] Fuller, op. cit., p. 87.

he surely must develop his own originality. This can hardly occur with maximum effectiveness through understudy alone; in addition, self-development is needed. "If we wish to think clearly, we must cease imitating; if we wish to cease imitating we must make use of our imagination. We must train ourselves for the unexpected in place of training others for the cut and dried."[6] This does not mean that the understudy procedure must be abandoned. It merely indicates that a concurrent process of enlightenment through freedom of thought should be encouraged. The aim of such a process would not be the development of an attitude of inalienable right to question policies and orders from above, but a more self-inspired acceptance of the military chain-of-command as a means to an end, and a more utilitarian attitude concerning the directives passed down to those below.

In examining the point of view of the average military leader, John P. Marquand has pointed out that the military mind of today is being compelled to cope with civilian eccentricities more intensively than it has for an entire generation.[7] He contends that the conventional method of

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[6] Fuller, op. cit., p. 86.

[7] John P. Marquand, "Inquiry into the Military Mind," New York Times Magazine, March 30, 1952, p. 55.

be slowly and develop into civil liberties. This can be
by coming with maximum effectiveness through universal
school in addition, multi-purposes in mission. "If we
wish to build citizenship, we must cause institutions in which
to cause individuals to act such as of our institution,
must again emphasis for the government in place of bureau-
ing citizens. If we act as a nation." This does not mean
that we abandon government institutions. It means
that a nation of citizens demands of multipurposes
through trends of strong moral in government. The rise
of such a problem would not be the development of an multi-
national institution right to question multiple use centers
from right. In short multi-purposes acceptance of the multi-
ple civil institutions in a manner in an end, and a more multi-
national activity concerning the alternative power under a
show union.

In conclusion the rise of [illegible] the [illegible] multi-
national, [illegible] Nations has [illegible] the military
action or [illegible] [illegible]

military training has equipped today's general to be a judge of certain limited regions of human character; in addition it has made him more logical, more objective, and better able to face any problem and come up with a concise solution. Even though the general's solution may be wrong, at least it will be an answer. This presumption of one's own ability adds to assurance and may even result in what is occasionally called a Messiah Complex.[8] Such a complex denies those below that plasticity of mind which is so essential to an understanding and appreciation of the illogical in human responses as well as the logical, a plasticity which is able to produce a philosophy of command that allows greater freedom of professional thought by all ranks, and which admits that "policy can remain strong only so long as it faithfully serves the best interests of the majority of dutiful soldiers, officers and men alike."[9] Because a Messiah Complex may be the resultant of the conventional concept of military training, the problem of this study is deemed to be of substantial importance.

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[8] Ibid., p. 54.

[9] Marshall, op. cit., p. 108.

military curriculum has equipped society's general to be a
image of certain limited regions of human circumstances in so-
ciation is one more his more logical, more objective, and
better able to face any problem and cope in with a complete
solution. Even though the personal existence and of matter,
as itself is will be in number. This reorganization of man's
own reality aids in awareness and may even result in what
is commonly called a mental change. Such a struggle
denies those voice that plurality of this which is no es-
sential to be understanding and a particular of the illog-
ical in human relationship as well as the logical, a plurality
far which is axis to produce a philosophy of common sense that
allows proper intrusion of transcendental thought by all man.
and what makes that "philos can remain strong only so
long as it intimately serves the very interests of the ma-
jority of human beings, whether in one sphere." Because
a vacuum (social) has to the consciousness of the commonplace
economic or political relations, the problem of this study is
made a of a essential importance.

Reference to Other Work Done on the Problem

Considerable attention has been given to the case method of instruction in the years since World War II in both the educational and industrial fields; yet, the amount of information which has been published concerning the method, its usage, and results obtained is surprisingly limited.

The primary source of material available today, so far as this study is concerned, consists of a very limited number of articles published in recent periodicals, plus the introductions to a number of case books edited by the faculty of the Graduate School of Business Administration at Harvard University. In addition to the case books, however, the Harvard group has just completed the compilation of a selected group of papers and lectures on the case method, as developed by them, and it is to be published during 1952 under the title, The Case Method of Teaching Human Relations and Administration. An advance copy of that manuscript was available for research in connection with this study.

A great deal of literature has been published concerning the nature of leadership and its development, and a vast amount of research is continuing in that area. The

Advantages of Object and Image on the Problem

[illegible] Accordingly [illegible] given to the use, [illegible] or [illegible] in the years after [illegible] it is [illegible] the consideration [illegible] Incomparable [illegible] yet, the general [illegible] [illegible] [illegible]

author has been fortunate enough to have had personal contact with staff members of the Personnel Research Board at Ohio State University and to have assisted briefly with the predictive leadership studies now being done by that group in connection with a navy contract.

A considerable amount of continuing research has been noted relative to the nature of learning and the development of more effective teaching methods. Reference will be made to conclusions concerning the psychology of learning, compiled by a group of experts working under navy contract, published for very limited service distribution under the title, Handbook of Human Engineering Data for Design Engineers. Within the limits of the research possible in connection with this thesis, however, no written material was found which dealt with the case method as a means of developing leadership.

Definition of Special Terms

Certain terms which will be used in this study are subject to varied and even conflicting definitions. In order to obviate confusion of meaning, the following definitions are submitted for the purposes of this discussion:

Case Method - an instructional method which places primary emphasis upon development of independent thought

[illegible]

[illegible]

[illegible]

and responsible judgment through student-centered conference discussion of the facts, opinions, prejudices, and possible solutions to specific problems which are crystallized out of selected case studies by the joint efforts of students and conference leader.

Leadership - the pattern of behavior of an individual which enables him to guide others or their actions toward voluntary cooperation in organized effort.

Status - relative position within a hierarchy, the hierarchy involving ordering of individuals on an inferiority-superiority scale with respect to the comparative degree to which they possess or embody some attribute or characteristic.[10]

Learning - any measurable change in behavior that results from experience.[11]

Executive, supervisor, administrator, or officer - all used synonymously to refer to one holding a position of formal authority above the level of the first line foreman (or non-commissioned petty officer).

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[10] Melvin Seeman, "Some Status Correlates of Leadership," from Grace, ed., Leadership in American Education (Chicago: The University of Chicago Press, 1950), p. 40.

[11] Handbook of Human Engineering Data for Design Engineers (Tufts College Institute for Applied Experimental Psychology, 1949), Chapter 1, Section 1, p. 1.

and responsible judgment through stimulus-response conditioning discussion of the theory, application, methodology, and practical conclusions to specific problems which are organizational and or motivated case studies by the joint efforts of managers and conference leaders.

Conformity - the process of behavior of an individual which results from a group or their actions conform values, conformation in accordance efforts.

Image - relative position within a hierarchy, the affective interaction occurs of individuals on an interaction-communication basis with respect to the communicative behavior in which they perceive or exercise some attributes or characteristics.

Learning - any measurable change in behavior that results from experience.

Administrative coordination, organization, or utilization - the management process in order to use building, a structure or formal authority above the level of the first line foreman (or non-commissioned army officer).

[illegible]

[illegible]

Training or Education - used synonymously except that a "training authority" is one whose objective is the development of a skill; whereas, an "educational authority" is one concerned primarily with the imparting of knowledge.

Scope and Method of Approach

This study will attempt to deduce some conclusions as to the potential value of the case method of instruction for use in a leadership development program for officers of the United States Navy. The appraisal will be of a qualitative nature, will refer primarily to concepts and practices found in the fields of business and education, and will attempt to draw conclusions which might be applicable for naval officer training. There are limitations which must be kept in mind in drawing conclusions for military usage from findings in these other fields. However, leadership studies at Ohio State have indicated that "the methods of leader behavior description developed in the study of shore establishments and business organizations may be meaningfully applied to officers and in some cases to enlisted men aboard ship."[12]

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[12] Personnel Research Board, Ohio State University, Studies in Naval Leadership, Technical Report No. 268, June 15, 1949, p. 65.

Teaching or Education - used synonymously means that a "teaching authority" is one whose objective is the development of a skilled citizens, an "educational authority" is one concerned primarily with the imparting of knowledge.

Range and Method of Approach

This study will attempt to address some considerations as to the pedagogical value of the case method of instruction for use in a leadership development program for citizens of the United States Army. The approach will be of a qualitative nature with refer primarily to concepts and practices found in the fields of business and education. Use will attempt to draw conclusions which might be applicable for social citizen training. There are limitations which must be kept in mind in drawing conclusions for military usage from findings in some other fields. However, the benefits available at this time have indicated that the methods of leader training transformation derived in the study of civic establishments and business organizations may be seemingly fully applied to military and in some cases to civilian organizations.

1/ Leonard Lawrence Lesser, Ohio State University, Dissertation Abstracts, Pedagogical Value of the Case Method, 1961, Page 1, Col. 1.

for a training program objective. For the purposes of this study, concepts concerning leadership which have been developed by recognized authorities and which have achieved general acceptance will be reviewed and accepted as sound. No attempt will be made to extend the research in this area by this thesis.

The nature of learning will be reviewed in Chapter III in a manner similar to that used in considering the nature of leadership. No psychological research will be attempted, rather a survey of the findings of some currently recognized authorities will be made. Particular emphasis will be given to the consideration of factors inherent in the learning process which would seem to be of interest in the preparation of a program for the development of leadership.

Chapter IV will be devoted to a study of the theory and the characteristics of the case method of instruction. Different interpretations of the technique and the methodology to be employed in the use of the case in an instructional session will be discussed. No attempt will be made to present a thorough analysis of the history or the psychological considerations applicable to case discussion, nor will the mechanics of how to draw up complete cases be dealt with at any length. Mention will be made of limita-

for a training program objective. For the purposes of this study, concepts concerning learnability which have been developed by recognized authorities and which have received general acceptance will be explored and accepted as sound. No attempt will be made to evaluate the research in this area by this author.

The nature of learning will be reviewed in Chapter III in a manner similar to that used in considering the nature of language. The psychological research will be attempted, based on a survey of the findings of some currently recognized authorities will be made. Particular emphasis will be given to the characteristics of factors inherent in the learning process which could have to be of importance in the preparation of a program for the development of learnability.

Chapter IV will be devoted to a study of the nature and the characteristics of the drill method of instruction. Different interpretations of the technique and the methodology to be employed in the use of the drill in an instructional program will be attempted. An effort will be made to present a thorough analysis of the history of the instructional methodology applicable to the discussion. The drill has been called by many to date by complete opinion a fairly dull to put together. Whether this is more it fabric-

tions which have been noted in areas where the case method has been used as an instructional device.

In Chapter V the application of the case method to the fields of education, business, and the military will be discussed. An example of a recent use of the method in an instructional program for reserve naval officers will be reviewed. This will be followed by a description, in Chapter VI, of a proposed enlargement of that program, with some modifications, for servicewide use in the navy.

Conclusions deduced from research and interviews will be summarized in Chapter VII.

Limitations

A complete evaluation of the case method of teaching involving controlled experimental analysis of the method in action is beyond the scope of this study. Time available and cost considerations limit the research to a survey of the pertinent literature, followed by personal contact through interview or correspondence with authorities in the field.

Specific limitations which prevent the drawing of truly objective conclusions are as follows:

1. The case method, though not new, has not been used widely enough and under enough varying conditions to permit

alone which have been noted in areas where the case method has been used as an instructional device.

In Chapter V the application of the case method to the fields of economics, business, and the military will be discussed. An example of a process use of the method in an instructional program for research naval officers will be reviewed. This will be followed by a consideration, in Chapter VI, of a proposed enlargement of that program, with some modifications, for instructors use in the navy.

Conclusions drawn from research and interviews will be presented in Chapter VII.

Limitations

A complete evaluation of the case method of teaching involves qualitative experimental analysis of the methods in action as applied in some or all areas. This evaluation has not been undertaken in this study. The research is a survey of the literature, interviews, obtained by personal contact, and a review of correspondence with educators in the field.

Qualitative conclusions which are valid, the development of specific evaluations can be achieved

[illegible] Although not new, the use of case has [illegible]

evaluation of its final effectiveness.

2. No controlled experiments have been reported, insofar as this study has been able to determine, which would assist materially in an evaluation of the case method.

3. There are numerous variations of the concept of teaching through the use of cases which are referred to as the case method; this demands careful definition of methodology before conclusions can be meaningful.

4. There is no general agreement as to the true nature of leadership or as to the most effective means of learning; consequently, the task of appraising a teaching method as a possible means of developing leadership is further complicated.

No attempt will be made to establish statistical proof of the conclusions drawn from the research. The various limitations upon a study of this type at the Masters level preclude the attempt of any controlled experiment which might help to substantiate reasoned deductions. Such an attempt to validate conclusions might be enlightening. It is most interesting to note, however, that despite the fact that the case method has been in use at Harvard in the study of human relations for almost thirty years, no formal statistical study which compared the results of this method with other teaching methods has ever been reported.

John B. Fox, speaking for the Graduate School of Business Administration at Harvard, pointed out the scope of such a comparison when he stated: "Because of the difficulties of comparativity the possibility of making such a study and having it useful are enormous."[13]

The nature of leadership and its development will be considered in chapter II. A brief summary of some of the present concepts of what leadership is believed to consist of will be presented in order to establish a foundation

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[13] John B. Fox, "A Note on Counseling as an Adjunct of the Case Method," in Kenneth R. Andrews, ed., The Case Method of Teaching Human Relations and Administration (to be published during 1952), p. 48.

[illegible]

[illegible]

[illegible]

CHAPTER II

THE NATURE OF LEADERSHIP

Introduction

In order to appraise a method of teaching as to its applicability to the development of leadership, it is first necessary to establish a standard against which to measure. In order to build that standard, this chapter and the one to follow will be devoted to investigating the nature of leadership, the nature of learning, and the application of those concepts to the problem of leadership development.

Leadership Defined

For the purposes of this study, leadership has been defined as the pattern of behavior of an individual which enables him to guide others or their actions toward voluntary cooperation in organized effort. The slight contrast between this definition and that created by Chester Barnard should be noted. His definition is, "the quality of the behavior of individuals whereby they guide people or their activities in organized effort."[1] The only point of sub-

[1] Chester I. Barnard, Organization and Management (Cambridge: Harvard University Press, 1948), p. 83.

stantive disagreement is in the term "voluntary cooperation," but this seems to place a considerably different interpretation upon the role of the leader. In essence, this study is concerned primarily with the development of that type of individual behavior which calls forth voluntary cooperation from those being led, rather than with a delineation of the mechanical methodology for providing merely a link in the chain of command.

The Leadership Research Group at Ohio State University, whose work will be considered later in this chapter, has used as its definition, "the process of influencing the activities of the organized group in its task of goal setting and goal achievement."[2] This implies voluntary cooperation through the process of group goal setting and goal achievement, but it limits the action of the leader to that of "influencing" activities rather than guiding them. Furthermore, it delimits the leader's influence to activities of the organized group rather than to either the individual member or the group as a whole. The definition created for this thesis calls for directive guidance by the leader rath-

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[2] Personnel Research Board, Ohio State University, Studies in Naval Leadership, Technical Report No. 268, June 15, 1949, p. 66.

[illegible]

er than mere influencing -- regardless of whether it be toward a mutually-accepted goal or not -- and it considers the man-to-man interaction between the leader and a single follower as well as the man-to-group interactions.

One other definition which may enlarge upon meaning through a contrast is that provided by Peterson and Plowman: "leadership implies a following whose behavior is a manifestation of a conscious, positive, and rational reaction to directive effort toward a common goal. Domination, on the other hand, may result in mere blind obedience actuated by fear or abject subjugation."[3] Here the voluntary climate is well depicted -- present among those led, absent among those dominated -- but the direction can only be toward a common goal. The term "organized effort," by contrast, does not rule out leadership of a follower toward an externally-supplied goal, and such a condition must be considered in a study of military leadership.

The Nature of Leadership

It seems appropriate now to take a look at the nature of this subject about which Barnard has said that there has

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[3] Elmore Peterson and E. G. Plowman, Business Organization and Management (Chicago: Richard D. Irwin, Inc., 1942), p. 223.

been "an extraordinary amount of dogmatically stated nonsense."[4] Despite years of concerted effort and a wealth of research data developed in the area of leadership, there are still many very different schools of thought as to what it really is. The best that can be done at this stage is to review some of the most generally accepted concepts and attempt to draw some conclusions from those which seem applicable to this study.

Ordway Tead, one of the foremost authorities in this field, has depicted the role of the leader as that of one who does not merely carry on with established purposes but evokes new and finer aims which have the permanence, quality, and vigor of the satisfaction people experience in realizing them.[5] This would certainly insist upon a higher aim than the mere passing on of instructions from above to those below. The leader must learn to interpret those instructions so that they express a part of his make-up, and he must present them in a way that will arouse enthusiastic

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[4] Barnard, op. cit., p. 80.

[5] Ordway Tead, Human Nature and Management (New York and London: McGraw-Hill Book Co., 1933), p. 172.

support in both the individual followers and the group as a team. In any formal executive role, he must recognize that although leadership depends upon authority for its being and effectiveness it must find expression in the ability of its possessor to stimulate followership based upon a clear understanding of the basic objective, a common purpose to achieve it, and a mutual confidence in personalities and anticipated results.[6]

What is the nature of this brand of humanity which can evoke new aims and stimulate followership among other members of his species? A few generations back, when survival was primarily a matter of physical fitness, leadership naturally descended upon those who exhibited the best combination of qualities which go to make up manly prowess. As the technical age developed, the physical characteristics gradually began to share the spotlight with technical competence. The practical type who could understand the rapidly changing conditions of life brought on by the Age of Inventions and who could foresee and control the development of practical applications of these mechanical marvels took over the roll of leader from the bull-of-the-woods type.

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[6] Peterson and Plowman, op. cit., p. 221.

Today we seem to have reached the Age of Human Relations. The machine has outpaced the human; consequently, the inventor most in demand is the one who can develop means of reestablishing the proper balance between man and the machine. Given has said of this new Age that "understanding people, and being trusted by them, is today a more important qualification for managers and supervisors than technical know-how. The latter can be learned from books or experience; the former comes from the heart."[7] This does not rule out technical knowledge completely from the leader's formula; it merely expresses the conclusion of many authorities that technical experience must be coupled with a sincere interest in people and proficiency in the science of human relations in today's formula for leadership.[8] It

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[7] Wm. B. Given, Bottom-up Management (New York: Harper & Bros., 1949), p. 50.

[8] Dr. Lilian Gilbreth, internationally known management consultant, expressed this idea of a balanced emphasis in a lecture to the Washington, D.C. chapter of the Society for the Advancement of Management on December 3, 1951, as follows: "The idea is prevalent that if we let the technical standards slack so much, by some means or other we will be rewarded with a great improvement in human relations, and from that an improvement in overall production. That won't happen. It can't happen. No matter how we develop the human engineering side, we must not lower the technical standards." (From Frederick C. Dyer, "You Can't Leave It to Chance," United States Naval Institute Proceedings, Vol. 78, Number 4, April 1952, p. 423.

is with that concept and the development of that type of leadership that this thesis is primarily concerned.

The Trait Approach

If efficacy in the science of human relations is an important ingredient of effective leadership, how can this efficacy be defined, recognized, and developed? It would appear that the task is far from solution today, though some definite progress has been made in recent years. As a result of a recent survey of industrial executive development programs, Mace has concluded that "no test or group of tests was found which could be used by every company to measure accurately executive traits."[9] "In a very real sense our present state of knowledge does not permit scientific and absolute measurement of human qualities."[10]

For many years primary emphasis in leadership studies has been placed upon the defining of specific human traits which constitute leadership requisites. In fact, that approach is still being employed by a number of researchers. There seems to be developing a more general agreement, how-

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[9] Myles L. Mace, The Growth and Development of Executives (Boston: The Andover Press, Ltd., 1950), p. 84.

[10] Ibid., p. 54.

in which what concepts and the development of what type of laboratory that this change is probably to occur.

The Basic Concept

It originally in the subject of human relations is an important integration of effective management, how can this affiliate to various concepts, and development. It would appear that the work in the human relations study, there are some initial problems involved in a modern period. A review of a short survey of investigations indicative devices current concepts, this has concluded that the best or some of these can (some which could be used by every company to develop successful executive skills.[1] In a very well video and concept based on knowledge does not overall value with the problem implacement of human relations.[2]

In most cases company organize in industrially training but also differed from the relations of industrial these small major questions industrially problems. In fact, that the people in full, which analyzed it. Number of management there exist in the study of a case. Great concepts the

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[1] Dale S. Beach, Personnel: The Management of People at Work (Macmillan Company, 1965), p. 19.

[2] Ibid., p. 20.

ever, that the trait approach alone is too sterile and cannot provide the whole picture. As Hemphill has said:

> "The popular idea that leaders are born, not made, stresses the importance of individual traits which make for successful leadership but ignores another factor of equal importance: the characteristics of the social group which is to be led. It is the interaction of the leader who possesses a given set of personal attributes and the group whose efficient functioning demands that particular combination of attributes which results in successful leadership."[11]

Since this study is concerned with training rather than selection, only brief consideration will be given to the question of requisite leadership traits, with particular emphasis upon those considered most necessary in a naval leader.

It serves no useful purpose to list the personality traits of one individual leader, for some of those same traits may be just as well developed in another individual who does not qualify as a competent leader. What is of interest, however, are those traits which appear common to many successful leaders and lacking in those individuals who do not qualify. Of particular interest are those characteristics which training can strengthen.

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[11] John K. Hemphill, "The Leader and His Group," Educational Research Bulletin, Vol. XXVIII, No. 9, December 7, 1949, p. 225.

Of first importance is physical and nervous energy.[12] It has been found that there is power imparted by the contagion of personal physical energy and nervous drive. Samuel W. Reyburn characterizes this as personal health -- also his number one requisite for a successful leader.[13]

Related to the quality of physical vitality is that combination of physical and psychical qualities known as enthusiasm. This quality will depend to a great extent upon the individual's conviction of the significance and interest of the enterprise at hand.

Adequate command of pertinent technical knowledge ranks third. Although this is a very important factor, it has been proven many times that the best technician does not necessarily make the best leader -- thus the vital need to develop his other traits.

Intelligence ranks next on Tead's list, and is third (after integrity) on Reyburn's listing. Psychological studies have indicated that education in this quality appears to be difficult if not impossible. Statistics show,

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12 Tead, op. cit., p. 154-156.

13 Samuel W. Reyburn, The Development of a Business Executive (New York: Association of Dry Goods Corporations, 1938), p. 10.

however, that an executive ranking high in general intelligence has a certain presumption in his favor that he will make a good leader.

One of the most complex traits to study is knowledge of human nature. The evidence of possession of this quality is in the attitude toward those being led and in the ability to teach others. But not only is pure knowledge of human nature required; there must be an intimate interest in and affection for people -- to the extent that the leader can find his greatest happiness in hastening the self-development and progress of his followers. Furthermore, it is imperative that one who is placed in a position of responsibility be sensitive to individual differences, so that he is able to produce group action that will reflect a maximum of the effective personal qualities and a minimum of the disruptive personal qualities inherent in the individuals composing the group. He must have confidence in and exhibit a convincing belief in the self-generating powers of individuals and in groups when given a chance to act together.

Probably the most important trait to be considered in this study is a scientific trend of mind.[14] A successful

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[14] Peterson and Plowman, op. cit., p. 71.

however, lies in actually running risk in external intelligence has a certain connotation in his favor that he will make a good leader.

One of the most complex tasks in study is knowledge of human nature. The evidence of possession of this quality is in the activity toward those under him and in the ability to teach others. We not only in peace knowledge of human nature required. There must be an intimate association in our activities for people -- to the extent that the leader can from his standard judgments in measuring the man's capabilities and weaknesses of the followers. Problems, it is necessary that one who is placed in a position of responsibility be acquainted to individual differences, so that he is able to assume those actions that will influence a person in the desired direction. Qualities and attitudes of the subordinate personal qualities influence the transition according the group. We must have confidence in our leaders, a convincing belief in his self-assurance, the ability to [illegible] and in [illegible] a strong personal [illegible].

[illegible] the most [illegible] [illegible] conditions in this study is a [illegible] [illegible] [illegible] [illegible].

leader concentrates on preventative rather than curative action. He must develop a keen sense of discrimination between fact and opinion and be able to contrast his objectives with an accurate knowledge of existing conditions in order to find a proper approach to constructive improvement.

The last major trait which will be listed is enthusiastic purposiveness. Unless an individual exhibits a conviction in the organizational and personal purpose inherent in a situation and proves this conviction by enthusiastic and vigorous progress toward the objective epitomized by these purposes, he will find the task of leading others to contribute toward any progress a very difficult one.

Many other characteristics can be identified with the successful leader -- such as courage, persistence, initiative, tact, patience, self-confidence, a sense of humor, integrity, judgment, capacity for following through, and self-control. Even this list is a mere sampling of the gamut of human traits which might be considered in an attempt to reconstruct the leader-type. Yet this thesis is more concerned with the results-in-action in the human arena of every-day military life. This dictates an emphasis on a consideration of the dynamic whole rather than

the static parts -- a search for a catalyst rather than a perservative. To develop an effective executive leader it is more important to analyze and condition his actions than to execute a qualitative analysis of his personality. Measurable results from the leader-follower interplay are the objective. In order to achieve this, the best method of accelerating and frustifying those dynamic personal qualities which contribute most to efficient progress toward total objective must be determined.

Dynamic Leadership -- Law of the Situation

When the application of the selected traits of leadership in action is considered, it soon becomes clear that the requirements must change radically with fundamental changes in the leadership situation.[15] The leader is definitely not a unique individual set apart from humanity by unusual personal qualities, as some people once contended. Most authorities now agree that the leader in one organization is often the follower in another.[16] It must be con-

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[15] Ralph C. Davis, The Fundamentals of Top Management (New York: Harper & Bros., 1951), p. 140.

[16] Ordway Tead, The Art of Leadership (New York, London & Toronto: McGraw-Hill Book Co., 1935), p. 10.

cluded therefore, that there are different types of leaders for different situations. Cronbach has provided an interesting psychological explanation of this contrast between the trait approach and the dynamic approach:

> The dynamic approach (to the concept of personality -- stemming from Freud) insists that personality is more than a collection of specific conditionings to situations. Instead, it is believed that the many specific behaviors exhibit an underlying unity. This unity is thought of in terms of "needs," "complexes," and other emotional forces. What the person does at any time can theoretically be predicted from his needs and a knowledge of the forces in the field where he acts. In one situation he may be dependent, to escape criticism from a superior; in another he may be dominant, to avoid exposing his insecurity to a subordinate; in a third, he may be cooperative and non-assertive, because he feels secure with that group of companions. The dynamic approach assumes that inconsistencies in behavior have consistent causes, whereas the trait approach must consider inconsistencies as errors.[17]

What determines, then, what type of leader is needed in any specific situation? Obviously, all the surrounding conditions must be analyzed to make the decision wisely. Effective executive leadership will depend upon the individual's ability and courage to face the facts in the situation, interpret the facts properly in the light of the situations' requirements, and follow the course of action

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[17] Lee J. Cronbach, Essentials of Psychological Testing (New York: Harper & Bros., 1949), p. 424.

they dictate. This is known as the Law of the Situation.[18]

Types of Leaders

In considering the law of the situation to determine the type of leader needed for a particular job, it is well to have some understanding of the categories into which leader types may be divided. For the purposes of this study it will not be necessary to analyze all types which may be cataloged. It is important, however, to realize that there really are different types of leaders and that an executive training program must be planned with that fact in mind.

Two basic classifications of leaders are: formal and informal. Formal leaders are those whose official title and position confer sufficient authority for the exercise of command over others. Of course, there is no proof that an individual occupying an executive position is in fact an effective leader. Actual leadership in any group and in any situation may be exercised by someone other than the deputized leader. Whenever this situation exists, informal leadership is taking place. Since only the executive level is considered in this study, it is obvious that raw mater-

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[18] Davis, op. cit., p. 152.

story future. This is known as the law of the situation.[1]

Types of leaders

In classifying our leaders we situation to determine the type of leader needed for a particular law. It is well to know some understanding of the characteristics which leader types may be attained. For the purpose of this study it will not be necessary to include all types which may be considered. It is true that, however, to realize that there really are different types of leaders and that no executive could be successful in dealing with that fact is vital.

A basic classification of leaders are formal and informal. Formal leaders are those who official title and position which entitles authority for the operation of assigned work. If someone claims to be formal can functional according to acceptable position in the formal organization leader. Informal leadership is any group and or any situation for a leadership of another. Some informal leaders are [illegible]. However the difference exists between formal and informal. [illegible] only the [illegible] is [illegible] in [illegible] [illegible] and the [illegible]

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[1] [illegible], [illegible]

ial being trained will be formal leaders by virtue of position. The real training objective will be to develop informal leadership as well.

Another manner in which leadership might be classified is: creative leadership vs. domination. This has to do with the manner in which the leader goes about getting a task accomplished. A leader's success is measured by the effective results at the point where the followers act. If that action is not the result of a voluntary reaction to a stimulus, it will not long continue to be effective. When voluntary team spirit does not arise, or if having arisen it dies, management or leadership then will invariably fail.[19]

A third way in which leadership can be typed is according to the degree of delegation of responsibility. There are at least three types within this classification: first, one who delegates responsibility too freely; second, one who delegates authority properly to spread the work load but retains responsibility; and third, one who is unable to utilize the capacity of others because of his

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[19] Jackson Martindell, The Scientific Appraisal of Management (New York: Harper & Bros., 1950), p. 268.

[illegible] dealing with a formal leader by virtue of work-
ness. The real leader, a collective will be to develop the
formal leadership in units.

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the collective leadership is [illegible]. This has to do
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effective leaving of the [illegible] the [illegible] [illegible].
If that action is not the result of a [illegible] [illegible]
or a [illegible], it will [illegible] [illegible] to be effective.
[illegible] [illegible] [illegible] [illegible] [illegible] [illegible]
[illegible] [illegible], [illegible] or [illegible] [illegible] [illegible]
[illegible] [illegible].

A [illegible] way of [illegible] [illegible] to [illegible] in
[illegible] to the [illegible] [illegible] [illegible]
[illegible] [illegible] [illegible]

inability to delegate.[20] Many of each of these three types will be found among the business or military executive group, and the overall effectiveness of a unit of an organization will depend in large measure on where in this scale its leaders stand. Obviously the second type represents the happy medium which is most efficient. Consequently, any guidance given to an executive in an effort to improve his leadership qualities should help him learn to delegate properly, so that he will belong in this second classification.

Still another division of types of leadership is personal and coordinative.[21] In one sense the latter is an extension of the former into and through the members of the group being led. Personal leadership is leadership by example; men are inspired by the example of the leader to perform their own assigned tasks. This is a direct two-party connection with little or no effect being exerted by other members of the group. Coordinative leadership is exercised through system and organization upon the individuals of a group. This type becomes more important as the

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[20] James D. Mooney, The Principles of Organization (New York & London: Harper & Bros., 1947), p. 19.

[21] Peterson and Plowman, op. cit., p. 227.

size of the organization grows, bringing many factors which weaken the power of personal leadership. Because of the tendency to emulate one's superiors the personal type of leadership will usually be more contagious. Coordinative leadership will be characterized by a just adaptation of all parts of the whole and a proportioning of each part to all others for the purpose of securing agreement in action.

A final contrast in leadership types is face-to-face vs. indirect. This pairing is very similar to the consideration of personal vs. coordinative leadership except that here the group action concept is not as important. Face-to-face leadership, whether it be positive, negative, or neutral, is exercised by all superiors with whom an individual comes into contact. Indirect leadership is exercised by all superiors above the senior executive with whom an individual has face-to-face contact.

From this analysis of the different types of leaders, it would seem appropriate to agree with Chester Barnard that, "leadership appears to be a function of at least three complex variables -- the individual, the group of followers, the conditions .... Leadership in practice may mean an almost infinite number of possible combinations."[22] In fact,

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[22] Barnard, op. cit., p. 84.

even this concept can be enlarged upon by adding a fourth variable -- culture or status. Seeman has described that factor as follows:

> Viewing leadership, thus, as one type of asymmetrical relation, in which the leader and the led are characterized by differential status in an influence hierarchy, it appeared profitable to ask questions which would relate this leader-led status difference to other types of status differences characteristic of the larger society.[23]

Conditions of Leadership

Now that the leader himself has been analyzed, the next question which must be answered is, "What are the elements of the 'situation' or 'conditions' variable?" Obviously, such factors as type of organization, point in the organizational growth cycle, technical considerations, time and cost limitations, etc., will be vital to any serious analysis. In addition, however, there seem to be at least two other elements of a different nature worth considering. These might be referred to as the emotional and psychical elements.

The emotional elements of a situation relate to the

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[23] Melvin Seeman, "Some Status Correlates of Leadership," from Grace, ed., Leadership in American Education (Chicago: The University of Chicago Press, 1950), p. 41.

even this concept can be improved upon by making a local variable — culture or society, perhaps and mentioning some factor as follows:

> Viewing learnedness, then, as one type of organizational variable, it seems that learner and teacher are constrained or stimulated somewhat in their behavior by certain general aspects of the learning situation, characteristics of the learner and teacher, and aspects of the learner's environment.

Conclusion — Summary

The idea of learnedness should not "see anything" the best qualities of [illegible] "real" [illegible] elements of the [illegible] "[illegible]" variable. Accordingly, [illegible] the [illegible] point of the organizational [illegible] variable [illegible] relationships, then [illegible] [illegible] [illegible] to any analysis [illegible]. Learnedness seems [illegible] to be a local [illegible] other [illegible]. [illegible] [illegible] [illegible]

degree of tension inherent in the leader, the followers, or both. This might be divided, for discussion purposes, into the two extremes, stable and instable. Under stable conditions the performance of the leader may be calm and reflective, but "its function of persuasion must be carried on without the aid of emotional drives and obvious necessities and against the indifference often accompanying lack of danger, excitement, and sentiment."[24] On the other hand, where there is great instability and uncertainty the leader must exhibit an abundance of physical and moral initiative and audacity. It is obvious that men equally adapted to lead under both extremes will be encountered most infrequently.

The psychical element of the problem involves answering the question, "How does a leader go about carrying out the leadership activities?" Statistical studies in this area led Hemphill and Coons to conclude that there are three major ways of accomplishing the leadership job:

1. A leader may stress being a socially acceptable individual in his interactions with other group members.
2. A leader may stress "getting the job done." This would involve emphasis upon group production and concern with problems relative

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[24] Barnard, op. cit., p. 91.

to obtaining the group's objectives.

3. A leader may stress making it possible for members of a group or organization to work together. Emphasis would be on the leader's job as one of a "group catalyst."[25]

To enlarge upon this thought, it would seem worth considering that more effective leadership might result if the leader makes a conscious appraisal of the group personality and the job at hand and patterns his behavior after that particular combination of methods of getting the job done which seems to hold the greatest promise of results.

Ohio State University Leadership Studies

The Personnel Research Board at Ohio State University is now in the seventh year of a ten year interdisciplinary research study entitled, "Leadership in a Democracy." This study is under the direction of Dr. Carroll L. Shartle and is assisted by grants from both the Rockefeller Foundation and the Armed Forces. It seems appropriate to review at this point the methodology used and some of the conclusions drawn from studies by this group.

The procedures employed in the Ohio State studies were based in part on assumptions that any high position in

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[25] John K. Hemphill and Alvin E. Coons, Leader Behavior Description, (a research report prepared by the Personnel Research Board, Ohio State University, undated), p. 97.

an organization structure carries with it certain responsibilities, that any person who occupies such a position may be regarded as a leader, and that the leader status of an individual leader can be comprehended only in terms of his relationship with other members.[26] In a sense this concept would seem to apply to standard business and military brands of leadership by virtue of the fact that followers generally have little or no choice in the formulation of orders which the leader passes down. On the other hand, it seems to point the research toward a study preponderently concerned with administrative behavior of status-assured executives rather than a study of behavioral patterns of indigenious leadership.

A survey of the literature in the field of leadership study was one of the first projects completed by the research group. As a result of this survey the trait approach was rejected, at least for the time being, and the following conclusion was published:

> The findings suggest that leadership is not a matter of passive status, or of the mere possession of some combination of traits. It appears rather to be a working relationship among members of a group, in which the

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[26] Personnel Research Board, Ohio State University, loc. cit.

> leader acquires status through active participation and demonstration of his capacity for carrying cooperative tasks through to completion ..... Problems which appear to be in need of thorough investigation are those relating to factors which condition social participation, insight into situations, mood control, responsibility, and transferability of leadership from one situation to another. Answers to these questions seem basic not only to any adequate understanding of the personal qualifications of leaders, but also to any effective training for leadership.[27]

Next, it was decided that the study would be primarily in terms of the activity which takes place rather than in terms of what might be considered "good" or "poor" leadership,[28] and the hypothesis was formulated, "that an administrator probably takes his pattern with him when he moves to a new administrative post."[29]

A second kind of instrument for studying leader behavior was developed which was concerned with estimating the

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[27] Ralph M. Stogdill, "Personal Factors Associated with Leadership: A Survey of the Literature," Journal of Psychology, 25, 1948, pp. 35 - 71.

[28] Carroll L. Shartle, "Leadership Aspects of Administrative Behavior," (Presidential Address, Division of Business and Industrial Psychology, American Psychological Association, September, 1950).

[29] Ibid.

degree of responsibility, authority, and delegation practiced by the administrator. Scales were prepared which were specific statements of behavior, and the items were weighted so that a numerical score could be given to express degree of responsibility, authority, or delegation perceived by an individual administrator in his own pattern, or as observed in an individual's behavior by his superior, peer, or subordinate.[30]

A third approach has been an attempt to determine how the leader performs his role. A number of dimensions of leader behavior were developed which were progressively reduced through factor analysis of field tests until there appeared to be only three distinct dimensions:

1. A maintenance of membership factor -- behavior that increases a leader's acceptability to the group. It is heavily loaded with low domination and high membership dimension.
2. Objective attainment -- behavior high in the production and organization dimensions.
3. Group interaction facilitation -- behavior or acts stressing the mechanics of effective interaction of group members. Loadings high were organization and communication.[31]

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30 Ralph M. Stogdill, and Carroll L. Shartle. "Methods for Determining Patterns of Leadership in an Organization Structure," Journal of Applied Psychology, 32, 1948, pp. 286-291.

31 Shartle, loc. cit.

To investigate the environmental factors in the leadership formula, both the group of which the leader is a part and the larger society or culture of which the leader and his group are a part are being studied. Methods used to study the leader's own group include: analyses of formal organization charts, sociometric ratings, measures of group morale, and group dimensions (such as autonomy, control, flexibility, etc.)[32] Three conclusions from the first phase of this study which seem to have particular bearing on this thesis are:

1. In groups with a single definite purpose and in those which exert a high degree of control over the behavior of members, successful leaders risk their personal welfare for the good of the group more frequently than they do in the less polarized or less highly controlled groups.
2. The successful leader tends to avoid giving the impression that he is superior to his group.[33]
3. As the group increases in size, tolerance for leader-centered direction of group activities becomes greater.[34]

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[32] John K. Hemphill and Charles M. Westie, "The Measurement of Group Dimensions," Journal of Psychology, 29, 1950, pp. 325-342.

[33] Hemphill, op. cit., p. 229.

[34] John K. Hemphill, "Relations between the Size of the Group and the Behavior of 'Superior' Leaders," The Journal of Social Psychology, 32, 1950, pp. 11-22.

In the study of culture influences the following three variables for measuring status point of view have been developed to test the hypothesis that leadership-followership patterns of a given institution are related to, or are in part functions of, the status systems and status ideologies which characterize the larger society in which the given institution functions:

1. Status attitudes: the respondent's generalized preferences on a broad range of status-involved situations. The "highs" on this scale might be termed "structuralists" in the sense that they favor having wide status differences maintained in society as compared with the "lows" of "equalitarians."
2. Status perceptions: the respondent's tendency to maximize or minimize the amount of status differences perceived as existing in American society. (Sample item: In general, in the U.S., people tend not to associate with those who have a lower social standing than they do.)
3. Status positions: rankings of one's own and the leader's present status in terms of four heirarchies (influence, prestige, economic and social position). All of these concern status in the wider community and in the nation.[35]

Preliminary conclusions from studies in secondary schools

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[35] Melvin Seeman, "Some Methodological Issues in Leadership Research," (Paper presented at the Seventh Annual Conference on Research in Industrial Relations at the Center for Continuation Study of the University of Minnesota, June 11, 1951).

suggest that the "highs" in status attitude tend to evaluate their superintendent more highly than do the "lows" (Pearsonian r, .23).[36] Another interesting conclusion concerning the influence of a work "climate" resulted from a study by Fleischman of the effectiveness of a leadership training program in industry. His findings seemed to indicate that, under certain types of training conditions and within some work climates, foremen are more management-conscious and less person-minded after completing a training program in the field of human relations than they were before they started the course.[37]

Some of the general findings of the work of the group, as reported by Shartle in an address before the American Psychological Association in September, 1950, are as follows:

1. Leadership behavior can be described reliably and in such terms that behavior differences can be shown in quantitative terms.
2. After patterns of behavior dimensions have been related to various criteria, the de-

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[36] Ibid.

[37] Edwin A. Fleischman, "The Relationship Between Leadership Climate and Supervisory Behavior," (Ph.D. Dissertation, Ohio State University, 1951), p. 176.

[illegible] that the "[illegible]" in active existence tend to evaluate their experiences more highly than do the "[illegible]" (Washington v. [illegible]).[illegible] Another interesting conclusion concerning the influence of a work "climate" resulted from a study in "[illegible]" of the circumstances of a longshoreman's working region in Lamport. His findings seemed to indicate that, under certain types of working conditions and climate even [illegible]. Persons are more cooperative [illegible] when cooperation is rewarded with a [illegible] in the field of human relations [illegible] [illegible] [illegible] [illegible]

[illegible] of the general [illegible] of the work [illegible] [illegible] [illegible]

scriptions can be used as tools in selection, training, transfer, and other problems.

3. There seems to be a basic conflict in our ideologies of leaders. We want persons in leadership roles, and yet we do not want to place limitations upon ourselves to submit to leadership.
4. In supervisory training programs, both the stereotype of a "good" administrator and the objectively defined type of effective administrator are used to establish criteria. How much of each concept should be used has not been determined.
5. The superior and the subordinates are more in agreement regarding the description of the intermediate supervisor than is the supervisor agreed with his superior or his subordinates about his own behavior. It will be interesting to note if other measures of social perception are related, and if certain kinds of training will produce significant changes in self-perception.
6. When one attempts through training or other means to change behavior within the chain, his results may be fruitless unless changes in behavior of the top person also occur.
7. Lack of communications may be one reason why administrators' self-descriptions are inaccurate when compared to descriptions by subordinates.
8. How the administrator perceives the ordering of individuals in our society, and his attitude toward that ordering, are related to certain phases of leader behavior as perceived by subordinates. The man who believes in wide differences in status in our society or vice versa may show limited progress in changing certain dimensions of his supervisory behavior so long as these status attitudes remain fixed.[38]

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[38] Shartle, loc. cit.

Summary and Application to Military Leadership

The epitome of much of the progressive thought today concerning the nature of this abstraction known as leadership seems to find expression in the growing emphasis upon the science of human relations. In the field of business, of education, and even within the armed forces, the bulk of what is new in the training literature has to do with the development of greater cooperation at all levels, more participation and better communication up the line, and a more thorough integration of both organizational and personal interests.

In view of this definite trend toward person-mindedness, the definition of leadership which was evolved for this study places stress upon voluntary cooperation by the followers, yet it allows for an externally-supplied goal, as this is usually the case at most levels in any military organization. The importance of the follower's attitude in the leader-led relationship is not a new concept, however; it has always been recognized by students of military psychology. Copeland, after studying great military leaders over the years concluded: "They were great leaders because ... they had learned that men can be led only if they are willing to be led; and they went out of their way to

make them willing."[39] This thesis holds that despite the recognition of this postulate too little attention has been given to it in the formal development of the naval officer.

Certain human characteristics have been singled out which seem important in the make-up of a leader, by virtue of the fact that they have been found to be common to many successful leaders and lacking among many who fail to qualify. Among those traits are some which seem to apply for naval leaders and which may be strengthened through training -- such as: technical knowledge, knowledge of human nature, a scientific trend of mind, and enthusiastic purposiveness. Training in technical subjects is not being considered by this thesis, though this omission is not made in an effort to detract from the importance of that trait in the naval officer. This study is confined to the problem of development of those traits which have a bearing on success in the control of human relations.

It has been noted that the trait approach alone ignores the nature of the group, the situation, and the larger culture -- all of which are now known to play a part in the leadership production. Consequently, the dynamic approach

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39 Norman Copeland, Psychology and the Soldier (Harrisburg: The Military Service Publishing Co., 1942), p. 81.

[illegible]

[illegible] Certain human characteristics have been singled out which seem important in the achieving of a leader, by virtue of the fact that they have been found to be common to many successful leaders and lacking among those who fail to qualify. These human traits are those which seem to apply for moral leaders and which may be determined through training - such as intellectual knowledge, knowledge of human nature, a [illegible] and enlightenable personality. Training in technical subjects is not being considered in this [illegible] because this material is not [illegible] to affect or [illegible] from the importance of that which is the most [illegible]. This study is confined to the problem of determining if some [illegible] which have a bearing on success in the method of [illegible] [illegible].

It was been [illegible] that the [illegible] alone [illegible] the [illegible] of the [illegible] in [illegible] and the [illegible] [illegible] -- all of which are [illegible] to [illegible] a [illegible] in the [illegible] productivity. [illegible] [illegible]

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which recognizes different types of leadership traits for different situations is accepted for this study, and the different leader types and the emotional and physical conditions of leadership will be kept in mind in drawing up training objectives. This conclusion agrees with that of Meier who applied the Law of the Situation to the military when he wrote: "In modern warfare leadership qualities must be regarded as relative to the situation wherein they function."[40]

There is one note of caution which must be sounded, however, in drawing conclusions based upon comparisons between leadership in the military service and leadership in other vocations. As Commander Harlow pointed out, "The most the leader in industry asks of his employees may be a little over-time effort, a small pay reduction, the postponement of an annual vacation until things quiet down. The most the Naval leader asks of his men may be their lives."[41] This is a basic and pervasive contrast which

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[40] Norman C. Meier, Military Psychology (New York & London: Harper & Bros., 1943), p. 191.

[41] A. Mason Harlow, "A New Look at Naval Leadership," United States Naval Institute Proceedings, 76, November, 1950, p. 1213.

dictates that all military training must be oriented toward obedience to direct orders when such orders are given. This thesis readily accepts and affirms that limitation but is not satisfied to accept it as the only criterion for setting objectives for training of officers. The appraisal which follows in the ensuing chapters leads to the hypothesis that a development program which encourages among officers a "giving" type of followership and a leadership based upon open two-way communications and a scientific rather than a stereotyped trend of mind will result in a more mature and even more dependable brand of obedience.

The true goal of a leadership training program for officers in the Navy would seem to be the development of a mental attitude which lies somewhere between the stereotyped trend of mind and the leaderless-group concept of human relations. Harlow spoke of the stereotyped version as "institutional" leadership and expressed the concept of a human relations approach to naval leadership as follows: "The result of combining the personal with the institutional method of leadership will be the scientific approach to the problem of human relations ..."[42] Looking at the other end of the continuum, there seems to be good evidence

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[42] Ibid., p. 1223.

[illegible]

that the leaderless-group concept also tends to be an extreme. After his study of four Ohio school administrations, Seeman found that in that setting there was a substantial demand for a type of leadership which is not of the "group dynamics" variety, and he concluded that "the current emphasis on group-centered, non-directive leadership expresses a point of view which is highly segmental, class-typed, and status-connected, rather than common-American."[43]

In summarizing this analysis of the nature of leadership, it is interesting to consider that Napoleon once said that the essential qualifications for a military commander are his civil qualities -- foresight, power of calculation, administrative ability, ready wit ... and, above all, knowledge of men. It also seems appropriate to turn again to Barnard, who makes the following conclusion from his study of leadership:

> In any case, the important point is that the qualifications of leadership, however discriminated and however named, are interacting and interdependent. We do not assemble them as we would the ingredients of a compound, yet we may suppose that different combinations of qualities produce quite different kinds of leaders, and that the qualities and their combinations change with experience and with conditions.[44]

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[43] Seeman, op. cit., p. 45.

[44] Barnard, op. cit., p. 102.

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Whether the proper conclusion is that leadership is such a complex abstraction that man will never be able to quantify it, or that the study of the nature of leadership is merely in its infancy and that time will bring an answer, is a question which this thesis cannot determine. Certainly in many human situations, as in the one depicted in the following quotation, there does seem to be something God-like in the leadership formula:

> It is related that just before the second day's fight in the Wilderness, General Lee rode along the front of the Texas Brigade drawn up for his inspection. Opposite the center of the brigade he turned his horse and silently faced his men. Knowing that many of them were going to their death, tears filled his eyes. He gazed at them in silence for a few moments, raised his hat and silently rode away. Then a tall raw-boned Texas private stepped from the front rank and, facing the battalion, said with the greatest emotion, "If any .... of a ..... here don't fight today, after what the General has just said to us, I will shoot him in his tracks."
>
> Such leadership is God-like and defies analysis.[45]

Complete analysis of such human responsiveness does defy analysis. Yet, this thesis must accept the conclusion that dynamic analysis can be successful to a substantial degree; that, within certain limits, leadership can be developed;

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[45] Taken from the files on leadership training maintained by the author's father, the late Colonel James M. Little, United States Army.

and that a formal program for such development should be a permanent part of the educational plan for officers of the United States Navy.

CHAPTER III

THE NATURE OF LEARNING AND ITS APPLICATION TO LEADERSHIP DEVELOPMENT

Introduction

In this chapter the nature of learning will be appraised, with particular emphasis upon the elements applicable to the development of military leadership. This will complete the formulation of a substructure upon which the appraisal of the case method of instruction may proceed.

Definition of Learning

"Learning is defined by the psychologists as any measurable change in behavior that results from experience. Usually we think of learning as change in a man's behavior that involves an improvement in his performance."[1] Note that the emphasis here is on change of behavior and on experience, both of which seem to insist upon active rather than passive participation in the learning process. Tead has said that "real learning is actual ability to handle situations so as to secure a satisfactory outcome; and such ability is acquired largely by the actual experience of

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[1] Handbook of Human Engineering Data for Design Engineers (Tufts College Institute for Applied Experimental Psychology, 1949), Part IX, Chapter I, Section I, page 1.

handling them."[2] Here, improvement in problem-solving ability is called for, and again active participation is encouraged. This study will employ a concept of learning which combines these two definitions, and the case method will be appraised in the light of this concept.

The Learning Process

"The three operations involved in learning are: acquisition, retention, and transfer."[3] Some educators might even reduce these to just acquisition and transfer, for they contend that one does not really learn unless he retains the knowledge transmitted. This thesis will not accept quite that extreme an attitude; it will, however, accept the contention that the active learning technique is more efficacious than the passive, and that a high permanent retention quotient must be evidenced through change in behavior in order for the process to be considered true learning. In this regard, the Tufts College group of experimental psychologists concluded from a study of acquisition processes involved in the learning of the phonetic alphabet that the active participation method was significant-

[2] Ordway Tead, Human Nature and Management (New York and London: McGraw-Hill Book Co., 1933), p. 70.

[3] Handbook of Human Engineering Data for Design Engineers, loc. cit.

ly superior.[4] It is also interesting to note at this point that a recent appraisal of the case method had this to say about the nature of learning:

> The student (must) become active in the learning process rather than remain largely passive and absorb doctrine as it is handed down by some authority. Students must be given more responsibility for making up their own minds about what they see and hear.
>
> Much of the responsibility for learning rests with the student ... it cannot be forced upon him even by the most zealous instructor.[5]

The "active participation" technique has given rise to the "learn by doing" school of thought. There seems to be little if any objection to the notion that one learns by doing, yet at the same time there are some very serious fallacies to be avoided in applying this principle. John Dewey has said, "We do not simply learn by doing, we become by doing."[6] But since there is no assurance that through mere doing we will become what we should or would like to become, it is of utmost importance that we consider

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[4] Ibid., Part IX, Chapter II, Section I, p. 3.

[5] Karl A. Boedecker, "The Case Method of Instruction," Collegiate News and Views, Vol. 5, Number 3, March 1952, p. 1.

[6] Jerome Nathanson, John Dewey (New York and London: Charles Scribner's Sons, 1951), p. 117.

more than just the doing, per se. Hurd's revision of the "learn by doing" phrase, namely, "You learn to do by purposing, planning, doing, and evaluating,"[7] would seem to provide a much more dependable basis for establishing training objectives.

Retention may be considered as a measure of the efficiency of acquisition. Insofar as meaningful learning is concerned, both acquisition and retention seem to be a function of understanding. Cronbach has pointed out that:

> studies of forgetting ... show that facts which are little understood are quickly dropped from the mind. Attitudes and changes of thinking habits are usually found to be much more lasting ... results ... indicate that the lasting changes were primarily in ability to apply principles to new problems and to draw conclusions from data.[8]

Transfer has been defined as "the influence of previous experience on current learning performance."[9] In order for the percentage of transfer to be high there must be a high degree of comparativity between new material to be learned and the experience background of the learner. In other

[7] Archer W. Hurd, "Do You Learn To Do By Doing?", The Journal of Educational Sociology, Vol. 19, Number 2, October 1945, p. 85.

[8] Lee J. Cronbach, Essentials of Psychological Testing (New York: Harper & Bros., 1949), p. 276.

[9] Handbook of Human Engineering Data for Design Engineers, op. cit., Part IX, Chapter II, Section III, p. 1.

words, "the learning of one skill will assist in the performance of a second skill to the extent the two skills have components in common."[10] The fund of knowledge and skills which any one individual is able to amass, seems to be a composite of what he can transfer and absorb from his interactions with others plus those original contributions which he is able to synthesize out of his own experiences. The practical value of this sharing process is attested to by the application in the business world of the multiple-management principle. Charles P. McCormick spoke of the generating power of such a system as follows: "New ideas are usually a synthesis or outgrowth of several concepts which we have gathered from various sources. Our wisdom is the result of our own personal experience and the collective wisdom of the Ages."[11]

The Student-centered Concept

One logical resultant of the active participation concept, when applied to a practical learning situation, is some form of student-centered methodology rather than a

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[10] Naval Leadership (Annapolis: United States Naval Institute, 1949), p. 125.

[11] Charles P. McCormick, The Power of People (New York: Harper & Bros., 1949), p. 28.

teacher-centered approach. In the educational field the revolt against the traditional pattern, brought about by the acceptance of this postulate, has found expression in the formation and propagation of theories such as "progressive education" and "group dynamics." This study will make no attempt to evaluate any of these doctrines; attention will be given solely to the elements therein which might apply to the development of leadership.

The process of learning which takes place in a student-centered classroom has been explained by Rogers in the following manner:

> To one who is used to highly organized classroom presentations, the discussion may seem loose, may appear to jump from topic to topic. This is certainly true, but it is probable that this fluid, exploratory, even confused type of advance is more deeply characteristic of learning as it occurs, than the dead systematization of learning after the fact. One of the things we have learned as instructors is that if the leader is uncomfortable at leaving issues "up in the air" and tries to achieve closure by some type of summary and conclusion at the end of discussion, this provides some relief for the group, but effectively stops any need for further thinking about the subject. If, however, the leader can tolerate the uncertainty, the divided views, the unresolved issues which the group has brought out, and if the class hour (and indeed the course) is ended without any attempt to bring an artificial closure, then the individual members of the group carry on very vital thinking outside of the class hours. The issues have been raised, some of their former concepts and gestalts have been unsettled, they need

> to find some resolution of the situation, they recognize that the teacher will not give an authoritative answer to the problem, and hence there is only one alternative -- to learn and learn and learn, until they have reached at least a temporary solution for themselves. And because they have achieved it for themselves, and recognize all too clearly the imperfect steps by which it was achieved, this temporary solution can never have the fixity that it would have had if it had been authoritatively pronounced by a professor. Therefore, instead of becoming a fixed point, a barrier to future learning, it is instead merely a step, a way station on the road to future learning.[12]

This discussion indicates that although the student-centered approach may be slow, and at times even frustrating, it does seem to offer better possibilities for inspiring self-generating thought in the learner than do the more conventional forms of teaching.

In regard to proven results from the use of the progressive methods, it has been found that, "in intellectual gains as measured by objective tests, the student-centered class showed equal or slightly better learning than the instructor-centered class."[13] In some individual cases, however, negative results were noted. It was concluded that,

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[12] Carl R. Rogers, Client-centered Therapy (Boston, New York: Houghton Mifflin Company, 1951), p. 409.

[13] Ibid., p. 425.

"students who are relatively well adjusted approve the method, and utilize the experience, doing more than an ordinary amount of reading for the course. The more poorly adjusted students tend to prefer a class in which the instructor gives the direction."[14] As a final appraisal, "Gross concluded that 'Cantor's method does encourage the development of insight on the part of a majority of students, though it may fail to reach a certain minority of every class'."[15]

The Art of Decision-making

In order to understand the operational aspects of learning, as applied to a practical situation, it is necessary to give some thought to the various levels of mental functioning. Ross has defined these as follows:

> .... knowledge may exist and function on at least four different levels. The lowest level involves mere recognition ... reading vocabulary. The next higher level involves recall -- speaking and writing vocabulary. A still higher level involves the ability to interpret and evaluate. At this level the learner must have a sufficient understanding of the material to be able to see it in its relationships to other things. The exercise of discrimination and judgment is implied. The highest level of all involves application. The person who is able to utilize information acquired in one situation and who applies it to the intelligent solution

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[14] Ibid., p. 424.

[15] Ibid.

of problems in a new setting has arrived at true mastery.[16]

Donham, in making the following statement, seems to have concluded that studies in the humanistic field must call upon the two higher levels of mental functioning: "We must recognize that one of the great dividing lines of human knowledge and experience is passed when we leave the certainties of natural science and enter social and humanistic fields where rapid change, uncertainty, the unknown and the unknowable and, above all, human interactions, become dominant factors."[17] As this thesis is concerned primarily with the development of those qualities which have a bearing on success in the control of human relations, those two higher levels will be the only ones considered.

It is to be noted from Ross' definition that in order to operate at the level of interpretation and evaluation, the exercise of judgment is implied. According to Nathanson, judgment is "the intelligent understanding appraisal of conflicting values, the ability to permeate to the heart of

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[16] C. C. Ross, Measurement in Today's Schools (New York: Prentice-Hall, 1947), p. 130.

[17] Wallace B. Donham, Education for Responsible Living (Cambridge: Harvard University Press, 1945), p. 55.

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a problem in terms of its human import."[18] Appraisal of conflicting values naturally calls for the examination of pertinent facts. This in turn demands an answer to the question, "What is a fact?" One definition which appears sound defines a fact as "a perceptual relation between an observer and an event or object he is observing."[19] This might be enlarged to include the idea that the event, object, or statement in question is not a fact unless perceived as such by a statistically-sound majority of observers. Yet this leaves the definition of statistically-sound open to varying interpretations. A reasonable conclusion seems to be that even so-called facts owe their existence to individual human interpretation which is subject to changing and unpredictable culture influences. In the field of human relations this conclusion appears to be particularly valid.

Nathanson has provided a valuable discussion of a pragmatic method for idea analysis, with a view to developing guiding principles or generalizations:

> What is the test of whether it is a good or sound idea? .... It was a good idea if it actually

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18 Nathanson, op. cit., p. 116.

19 Naval Leadership, op. cit., p. 8.

> did resolve the problem it was devised to meet. And, if it did, we can say that we knew how to act in that situation, that we are in possession of that much knowledge ... We have to determine, in a second situation, if it really does involve the same kind of problem as the first, and that requires careful observation, analysis, comparison, judgment. If it does, if the problems are of the same kind, we can then employ our generalization, which has become our guiding principle of action. We cannot be sure that it will solve the problem this time.[20]

In connection with the process of application of knowledge, Ross' explanation calls for the intelligent solution of problems in a new setting. It was pointed out in the discussion of leadership traits that one's intelligence seems to be constant. The question which naturally follows, then, is: "What is the purpose of formal education?" Tead contends that the purpose of education is "to supply data for problem-solving, to place before the individual the tools of scientific inquiry and rational reflection ... to supply motives for the exercise of intelligence on a wider range of behavior problems."[21]

The process of scientific inquiry seems worthy of further attention in the analysis of the art of decision-making. "Any man who can learn and apply the general procedures

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[20] Nathanson, op. cit., p. 43.

[21] Tead, op. cit., p. 79.

and the general point of view of the scientist is very likely to be a better solver of problems."[22] In regard to the use of reasoning in the educational process, Tead has said:

> ... the essence of the educational method is the essence of reflection.
>
> ... the way to carry on the educational process with oneself or with others is to present the educational matter -- the material or skill to be learned -- as a problem to be mastered and then to follow through the successive steps until mastery is achieved.
>
> ... everyone in respect to countless day-to-day problems of choice, reflects upon them and acts rationally only as he himself goes through the above processes rather than, as so often happens, taking the ready made conclusions of others as his own.[23]

Furthermore, he has listed the steps in the reasoning process as follows:

1. Recognition
2. Accumulation of all possible data
3. Classification of all data into significant groupings ... which supply clues as to the probable nature of the solution
4. Formulation of a tentative solution
5. Testing of solution in action
6. Adoption of solution as a working method[24]

That this scientific reasoning process has direct application to the naval officer's problems is attested to by the

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[22] Naval Leadership, op. cit., p. 4.

[23] Tead, op. cit., p. 85.

[24] Tead, op. cit., p. 84.

following statement from Naval Leadership: "The scientific method has a large significance for the leader of men, because (a) the method can be learned and applied by the intelligent non-scientist and (b) the method yields good results when applied to problems of human behavior."[25]

It is axiomatic that the more different ideas and sources of knowledge bearing on a problem which are weighed in the scientific process of arriving at a solution, the better the chances will be that the solution will be valid. This creates a demand for a free interchange of ideas through two-way communication. When this concept is applied to the field of executive leadership, it takes on even greater importance, in that it enhances the feeling of belonging which is so essential to the morale of the follower. This thought was expressed by Given as follows: "One of the fundamentals of all sound education is to bring about a free exchange of ideas among individuals. This principle is also basic in the teaching process in business, for such an exchange of ideas draws out each individual, stretches his thinking, and gives him the sense of being part of the management."[26]

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[25] Naval Leadership, op. cit., p. 3.

[26] William B. Given, Bottom-up Management (New York: Harper & Bros., 1949), p. 23.

Instructional Techniques

What techniques are used in the field of education, and of business, to satisfy the needs of the learner? It is not of interest to this study to attempt to define and discuss all teaching techniques and methods which are employed. What is desired is the formulation of a concept of a general framework of methodology which would seem to satisfy the objectives defined by the nature of the learning process.

It is readily apparent that much of the methodology used in conventional educational programs does not answer the problems presented in the process of learning. "General education, even professional education on the college level teaches very little about how to meet new situations, how to learn from experience, or how to educate oneself. The emphasis is placed on learning the right answers and then applying them as needed."[27] The trend is definitely away from the standard lecture method, but overall progress toward methods emphasizing active participation has been

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[27] Thomas H. Nelson, "How Training Can Help Management," The Conference Board Management Record, Vol. XII, Number 1, January 1950, p. 9.

slow. Metcalf noted over a decade ago that "modern professional education has more and more turned away from textbook learning and looked to the handling of problems to develop habits of mind upon which ability rests."[28] Yet, even a cursory investigation of instructional procedures in use today at all levels of formal schooling would prove that only a fractional part of the whole area has made substantial progress away from the conventional pattern.

In defense of some of the conventional precepts, however, it is well to note that some recent studies indicate that the lecture method should not be discarded completely; a more judicious use is probably the answer. In one instance, "analysis of above-average and below-average students showed superiority of lecture method for high group and discussion method for low group ... Mean changes between initial and final objective test scores on course subject matter show slightly more knowledge was acquired through discussion than through recitation."[29] A somewhat similar

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[28] Henry C. Metcalf, Business Leadership (New York and London: I. Pitman & Sons, 1930), p. 233.

[29] Handbook of Human Engineering Data for Design Engineers, op. cit., Part IX, Chapter IV, Section III, p. 13.

conclusion by Wispe, drawn from the findings of a very interesting research study into the comparison of "directive" vs. "permissive" teaching methods, was that "for the better students there was no clear-cut superiority in learning attributable to either of the two teaching methods, but for the poorer students directive teaching proved superior."[30] Both of these studies were made in examination-oriented climates which placed emphasis upon preparation for objective testing.

These conclusions are important to consider in any discussion of the relative merits of different teaching methods. However, since objective examinations will not be included in the leadership development program proposed by this study, these conclusions do not hold for such a program. As will be pointed out in a later chapter, the primary training objective which will be recognized by this thesis will be the development of personal insight and the ability to understand and solve problems in the field of human relations.

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[30] Lauren Wispe, "Evaluating Section Teaching Methods in the Introductory Course," (Ph. D. Dissertation, Harvard University, 1950), p. 16.

Management of Learning Practice

Research studies in the actual mechanics of teaching methodology have shown that there are certain fundamentals involved in the management of learning practice which must be recognized if maximum learning is to take place. These will be discussed as steps to precede practice and as principles involved in the management of the actual learning process.

There are three basic steps which should precede the actual teaching process:[31]

1. Motivation -- inciting the will to learn
2. Orientation and mental set -- transmitting an understanding of the objective and the processes
3. Environment -- provision of proper physical surroundings

These steps will be discussed at length when the case method program for leadership development among officers in the navy is presented in a later chapter.

One special aspect of motivation should be mentioned. All of humanity has a tendency to refuse to consider an

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[31] Handbook of Human Engineering Data for Design Engineers, op. cit., Part IX, Chapter II, Section I, p. 1.

idea solely because it is new. Adults are particularly reluctant to have their customary routine of habits, attitudes, and opinions disturbed. "The more formal and obviously academic is the set-up of plans to foster executive learning, moreover, the more difficult is the process likely to be. It is a natural matter of self pride with adults and specially with those in positions of some authority that they do not need to learn."[32] If properly motivated, there is no reason for them not to be successful in the learning process. Modern psychologists agree that up to forty-five years of age the speed of the learning process is only very slightly affected by age.[33]

In motivating adults to learn, the new idea should be made to seem as much like the present view as possible. What has been said previously in this paper concerning the nature of transfer of learning must be given special emphasis when the students are mature adults. In addition, emphasis on the idea of "development" rather than "training" will aid in the motivation of adults. Mace found in his

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[32] Tead, op. cit., p. 72.

[33] Ibid., p. 226.

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study of executive development programs in industry "ample evidence to support a conviction that a majority of people in an organization resent 'training' approaches whereas they readily accept efforts to help them grow and develop."[34]

Management of learning practice must take into consideration the following principles:

1. If the task can be set up to make the learner participate actively, learning proceeds more efficiently.
2. The learner must first look at the whole of the task to be acquired.
3. Nature of the material -- the location of a task with respect to these dimensions (motor-verbal complexity, and rote-problem solving) influences the manner in which generalizations regarding practice should be applied.
4. Reward and punishment -- the learner should always know how well he is doing. Rewards for good work and/or penalties for poor work are sometimes effective.[35]

For a practical application, it is interesting to note that Wispe found that "good teaching" is characterized by: (1) short expositions on points as they arise in the discussion rather than long lectures; (2) an informal type of

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[34] Myles L. Mace, The Growth and Development of Executives (Boston: The Andover Press, Ltd., 1950), p. 13.

[35] Handbook of Human Engineering Data for Design Engineers, op. cit., Part IX, Chapter II, Section I, p. 1.

humor; (3) directive-type, specific questions; and (4) encouraging, and allowing time for, student participation."[36]

Development of Leadership

As a result of the investigation into the nature of leadership in chapter II of this thesis, it was concluded that there are certain human qualities which seem important in the make-up of a leader -- such as knowledge of human nature and a scientific trend of mind -- which, by nature, seem susceptible to growth and development through training. There have been noteworthy opinions expressed by both the business and military leaders which add credence to this conclusion.

Donham expressed the opinion more than once that "skills useful in understanding and handling men which will serve in many situations can be developed."[37] The late Admiral Forrest P. Sherman said, "I concur that we can take average young men and, by proper training, develop in them the essential initiative, confidence, and magnetism which are necessary in leadership."[38] General C. B. Cates, when

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[36] Wispe, op. cit., p. 32.

[37] Donham, op. cit., p. 257.

[38] Frederick C. Dyer, "You Can't Leave it to Chance," United States Naval Institute Proceedings, Vol. 78, Number 4, April 1952, p. 417.

Commandant of the Marine Corps also commented on this question as follows: "Inherent ability cannot be instilled, but that which is latent or dormant can be developed. Other ingredients can be acquired. They are not easily taught or easily learned. But leaders can be and are made."[39]

Despite these seasoned opinions, it can not be positively concluded that leadership can be developed in any particular individual by any process known today. On the other hand, there is no reason to believe that any appreciable harm will be done through attempting to bring about a purposeful change of behavior in those individuals who exhibit the inherent qualities which have been singled out as typical of one who has high leadership potentiality. In fact, since the bulk of opinion and most of the pragmatic results of tests have indicated that many individuals do actually improve their ability to lead others as a result of conscious effort toward that goal, there seems strong justification for a formalized attempt at such development.

If an organized leadership development program is to be designed, what factors should be considered in determining its structure? How can the "giving" type of followership

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[39] Ibid., p. 421.

and a brand of leadership based upon open two-way communications and a scientific trend of mind be instilled in a naval officer? The objective of such a program would certainly include the molding of a mental attitude which, though always mindful of the primary importance of attainment of the military objective, could at the same time accept and encourage a free interchange of ideas and attitudes, and which would employ an open-minded, scientific problem-solving approach in the process of decision making. It has been said that:

> The modern leader in these days of tremendous technological developments and rapid changes in non-material culture, must be adjustable to change. The instruments of war change. Military problems change. In any group in which a leader may be involved, the social atmosphere, the state of morale, the psychological constitution will change from day to day and week to week and war to war. The leader who attempts to deal with this pervasive change in terms of set attitudes, crystallized answers, fixed habits of thought and action is not likely to achieve the acme of success.[40]

A free interchange of ideas can not occur when the leader is unwilling to maintain an elasticity of mind which will allow him to reshape his concepts as a result of synthesizing from the total supply of human knowledge available to him. "Lack of receptiveness to new ideas, particu-

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[40] Naval Leadership, op. cit., p. 22.

larly those of one's subordinates, may seriously vitiate one's leadership effectiveness. Ability to make effective use of his staff is an important measure of the value of an officer in a military organization. Effective use of staff and a closed mind are not compatible concepts."[41] This open-mindedness must even go beyond one's own "staff"; it must encompass the external as well as the internal culture which influences the minds of followers. Seeman concluded that "if we are concerned with teaching subordinates or leaders something about expected changefulness in the leader, to do an adequate job it appears we would have to be prepared to deal with (or, at the very least, accept change in) a wider set of status-oriented attitudes concerning extra-organizational affairs."[42]

Bogardus concluded almost a decade ago that "the development of leadership depends on studying situations and on acquiring skill in controlling them."[43] This demands a

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[41] Ralph C. Davis, Fundamentals of Top Management (New York: Harper & Bros., 1951), p. 148.

[42] Melvin Seeman, "Some Status Correlates of Leadership," from Grace, ed., Leadership in American Education (Chicago: The University of Chicago Press, 1950), p. 47.

[43] Emory S. Bogardus, Leaders and Leadership (New York and London: D. Appleton-Century Co., Inc., 1934), p. 269.

scientific approach to humanistic problems -- a concept also found in the latest of naval leadership literature: "The naval officer, if he will invest the effort necessary to understand scientific principles and to learn a few of the scientists' skills, can become a more effective handler of men."[44]

Summary

In this analysis of the nature of learning a concept has been accepted which views learning as a change in behavior, evidenced by improved ability to handle situations, and resulting from active participation in the learning process. The three operations involved in the process are acquisition, retention, and transfer; in the performance of these operations the doctrine expressed by "learn by planning, purposing, doing, and evaluating," seems to provide the best basis for setting training objectives. Retention appears to be best exhibited by the lasting quality of ability to apply principles to new problems and draw conclusions from data. Transfer of learning is proportional to the extent to which the skill to be learned has components in common with a possessed skill.

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[44] Naval Leadership, op. cit., p. 3.

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One logical method of answering the demand for active participation is the student-centered technique of instruction. In this process the instructor does not attempt to achieve closure at the end of every session; instead, he tolerates divided views, thereby providing a step rather than a barrier to future learning. Tests have indicated that though this method is slower than conventional methods, and though some poorly-adjusted students may even achieve negative results, it seems to offer better possibilities for intellectual gains among the well adjusted students and does encourage the development of insight.

Knowledge is believed to exist and function on four different levels, the higher two of which are ability to interpret and evaluate and ability to apply information acquired in one situation to the intelligent solution of problems in a new setting. Studies in the humanistic field seem to call upon knowledge in these two higher levels. In the process of evaluation, judgment -- the intelligent understanding appraisal of conflicting values -- must be exercised in separating fact from fiction. Yet the procedure of establishing an item as fact seems to be subject to the perverse whims of unpredictable culture influences; this impermanence raises a serious doubt concerning the validity of

The logical method of accounting the demand for action participation in the student-centered curriculum of tomorrow. In this process the instructor does not attempt to motivate students at the end of every semester lecture, or lecture in divided class, thereby providing a step method when a lecturer is course learning. Such have indicated that though this method is almost more conventional methods, and though some positive-oriented students may even achieve negative results. It gives to which factors possibilities for individual going among the well-educated students and does encourage the development of learning.

Everything is followed to assure one's success on the different levels, the higher the of skill the ability to interpret the examples and apply information so-called is the attention to the individual solution of problem in a real setting. Finally it has been seen that we can change knowledge in terms of higher levels. The curriculum reformation, however -- the intellectual development, acquisition of constructive values -- may be the answer in preparing for tomorrow. Yet the problem of implementing this plan so that every to be sure, the [illegible] [illegible]

any so-called laws of human relations. The best compromise appears to be the use of pragmatic tests of results as a means of determining guiding generalizations, to be continuously tested in each new situation.

Two aims of formal education are the supplying of data for problem-solving and training in the process of scientific reasoning procedure for attacking the educational matter to be mastered. The scientific method has special significance for the naval officer when applied to his problems in the field of human behavior.

Sound educational practice demands a free interchange of ideas and an open-minded attitude on the part of the learner. This frame of mind is especially important to one in the executive ranks because of the sense of belonging which it imparts to the follower.

It is apparent that many instructional techniques in use today do not satisfy the "active participation" concept of learning. Although some recent studies indicate that the more conventional methods, such as lecture and recitation, produce better learning under certain conditions than do more progressive methods, the trend is definitely toward acceptance of the more permissive techniques in both education and industry.

In the management of learning practice three steps should precede the teaching process -- motivation to learn, orientation toward the objective, and provision of the proper physical and emotional environment. In connection with the teaching of adults, it is particularly important to give special attention to the problems of transfer of learning and to emphasize the idea of development rather than training. Proven principles of good teaching -- such as planning for active participation by the student, exhibiting an informal sense of humor, the use of suitable rewards for progress, and the use of directive discussion questions -- must be followed in formulating the instructional technique.

There is substantial agreement that leadership can be developed in one possessing the proper potentialities. For such development, it seems appropriate to conclude as a result of the foregoing analysis of the nature of leadership and learning that what is needed is an instructional technique which places emphasis upon the scientific method of reasoning and the development of insight and problem-solving ability.

In the management of learning problem there stage should provide the learning process -- motivation to learn, orientation toward the objective, and provision of the proper mental and material environment. In connection with motivation - genius, it is particularly important to give special attention to the problems of transfer of learning and to emphasize the idea of development rather than training. Three principles of good teaching -- such as planning for active participation by the student, establishing an informal mode of lesson, the use of suitable methods for presenting, and the use of effective discussion questions -- may be followed in formulating the instructional technique.

Here is mathematical experience that logically can be employed in the following the proper potentialities, and development. It seems appropriate to conclude an a model of the teaching methods of the method of instructional, and learning that is based if an instructional objectives which lesson replaced with the relationship between in instructional and the development in insight and problem solving ability.

CHAPTER IV

THE CASE METHOD OF INSTRUCTION

Introduction

The case method of instruction has been defined for the purposes of this thesis as "an instructional method which places primary emphasis upon development of independent thought and responsible judgment through student-centered conference discussion of the facts, opinions, prejudices, and possible solutions to specific problems which are crystallized out of selected case studies by the joint efforts of students and conference leader." In this chapter, the nature of this teaching technique will be examined, followed by a brief summarization of its characteristics and limitations.

Background

It is generally agreed that the technique of teaching through the use of cases was first employed formally by Professor C. C. Langdell in 1871 at the Law School of Harvard University. He introduced the use of written actual court opinions as the main context of the course of study, with special emphasis on discussion in class. The Encyclo-

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pedia of Social Science describes the method as then conceived as follows:

> Instead of hearing or reading general rules ready made, from some unexamined source of authority, accepting them and then attempting to apply them, the student was to dig out his general rules for himself. In this process he would develop an ability to think; he would learn to handle himself in legal argument; he would acquire, even, a degree of skepticism concerning some rules which some men had formulated.[1]

The method was extended to the field of medical instruction in 1906 by Doctor Richard Cabot, who published in that year his book on Case Teaching in Medicine and began the use of cases in his classes at Harvard Medical School.[2] During World War I engineers were trained for military service at Camp Humphreys in a program which employed a version of the case method.[3] In the early Twenties the Graduate School of Business Administration at Harvard tried out a problem solving form of case method and soon converted all of its courses to this type of instruction. In 1924 Nolan stated that there were case methods for the study of

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[1] E.R.A. Seligman, ed., Encyclopedia of the Social Sciences (New York: MacMillan Co., 1934), Vol. 3, p. 251.

[2] Aretas W. Nolan, "The Case Method in the Study of Teaching with Special Reference to Vocational Agriculture," (Ph. D. Dissertation, University of Illinois, 1924), p. xi.

[3] Ibid.

civics, of ethics, of economics, of the social sciences, of educational psychology, and of the ministry.[4]

By 1935 a form of case method had been applied to the study and teaching of psychiatry; Strecker and Kbaugh's Practical Clinical Psychiatry for Students and Practitioners is an example of one of the first texts which used the case approach.[5] Long before that, however, the case method -- generally referred to in this instance as the "case study method" -- had been used extensively for research and diagnosis where the immediate aim was treatment of some disorder in an individual. Furthermore, case studies were given considerable attention in the field of social work as early as 1869, when Octavia Hill recognized the need for more than a record of relief as a result of a social worker's activity.[6]

In the mid-1930's the demand for case material began to grow among the teachers of public administration. In 1934 the Committee on Public Administration of the Social

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[4] Ibid.

[5] Stanley S. Marzolf, "Problems in the Use of the Case Method," (Ph. D. Dissertation, Ohio State University, 1937), p. 33.

[6] Ibid., p. 35.

[illegible] of economics, of the social sciences, or economical investigation and of the activity.[7]

[illegible] from a [illegible] method has been applied to [illegible] study and essayists of nineteenth century "Lectures and Essays" Principles Critical Expectations for Economics and Investigation-use is an example [illegible] one of the first texts which used the case approach.[8] [illegible] text, however, the case method -- generally referred to in this instance as the "case study method" -- had been used extensively for economics and discussed about the immediate life and experiences of people [illegible] order in an individual. [illegible] studies were given an economic orientation in the field of social work as early [illegible] [illegible] [illegible] the need for more than a [illegible] or a manual of a social worker's [illegible]

In the [illegible] the [illegible] case method began to [illegible] [illegible] [illegible] [illegible] [illegible] [illegible] [illegible] [illegible] [illegible]

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Science Research Council began compiling cases for use in the educational institutions. This work, aided by a grant from the Carnegie Foundation, culminated in a series of cases which were put into circulation in lithograph form in 1945. These were compiled and published in book form in 1951 under the sponsorship of the Inter-University Case Program and the editorship of Harold Stein.[7]

It is difficult to determine when the case method was first employed in industry. It is known that as early as 1938 Armstrong Cork Company was using cases in its formal supervisory training program, and that a "case movie" was prepared by them to use in that program in 1940.[8] Since that time many other companies have used various forms of the case method in their supervisory or executive training programs, and there is definite indication that its use will become much more widespread in the near future.

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[7] Harold Stein, ed., Public Administration and Policy Development (New York: Harcourt, Brace & Co., 1952), p. xxxix

[8] This movie was the forerunner of the current McGraw-Hill Book Company series, titled "Human Relations in Supervision." See Appendix C for excerpt from letter from the Training Director of Armstrong Cork which describes this program.

The use of cases for organized instruction in leadership is not new in the United States Navy either. Prior to World War II leadership was being taught at the Naval Academy by experienced officers through seminar discussion of human relations incidents recalled from their personal experience. In 1944 the Bureau of Naval Personnel published a pamphlet entitled, Manual for Practical Development of Leadership Qualities, in which a case approach was recommended. Furthermore, in 1949 the Naval Academy compiled a textbook for midshipmen, Naval Leadership, which described a case method of teaching and provided forty-nine leadership situation write-ups.

It is obvious from this brief review of the case method that it is not a new technique, nor has it been confined to any single field of endeavor. Rather, it seems to have found use in almost every area in which the process of learning has taken place. This study will be concerned solely with the use of the case method as a teaching technique applied to the social sciences; case studies and case histories are of interest only insofar as they play a part in the process of teaching through the use of such cases.

Theory of the Case Method

"The case method of instruction is peculiarly adapted

to focus responsibility for learning upon the student ... it is the process of arriving at the "answer" in which each student participates personally that is the important factor which distinguishes the case method from many traditional methods."[9] It has been pointed out previously that there are many different versions of the case method. Even at the Graduate School of Business at Harvard where the case method is used exclusively there is no unanimity of concept or methodology. In actual use, the method may involve the discussion in class of a case read in advance -- with or without a prior write-up by each student -- or it may mean merely submission by the student of a write-up of the case for comment by the instructor.

There seems to be substantial agreement among those authorities who have written about the case method, that it must place emphasis upon student-centered activity and employ a scientific problem-solving procedure in order to realize maximum effectiveness. The underlying theory of this type of process will be discussed first; then attention will be given to the points of variance between dif-

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[9] Karl A. Boedecker, "The Case Method of Instruction," Collegiate News and Views, Vol. V, Number 3, March, 1952, p. 2.

to focus responsibility for learning upon the student ... It is the process of arriving at the "answer" in which each student participates personally that is the important factor which distinguishes the case method from many traditional methods." It has been pointed out previously that there are many different versions of the case method. Even as the Harvard Idea of Business is thought among the case method is most creatively there is no monopoly of concept or methodology. In actual use, the method may involve the examination in class of a case read in advance -- with or without a prior written analysis by each student -- or it may take the form of presentation by the instructor of a write-up of the case not prepared by the instructor.

There seems to be considerable disagreement among those authorities who have written about the case method, that it must place emphasis on student-centered activity and adopt a authority-free non-directive procedure in order to realize maximum effectiveness. The underlying theory of this view of course is: "In discussion (case) has attained its full importance in the method of teaching because it

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ferent schools of case method thought.

Dean Donham, former dean at Harvard Business School summarized the student-centered nature of the case method as follows: "The essential fact which makes the case system ... an educational method of the greatest power is that it arouses the interest of the student by making him an active rather than a passive participant."[10] The active participation concept has such high face validity that it might seem too obvious to dwell upon. Yet experience with conventional teaching methods has shown that such dynamic activity on the student's part does not arise automatically. It must be specifically provided for in the teaching process and continuously drawn out in practice.

In the case approach the students are given not a set of abstract laws to memorize or criticize, but rather a collection of raw materials taken from a real life situation out of which they can usefully draw conclusions and rules for future action. Furthermore, the confidence that the student can be given through offering him the opportun-

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[10] Wallace B. Donham, as quoted by Charles I. Gragg, in Kenneth R. Andrews, ed., The Case Method of Teaching Human Relations and Administration (to be published in 1952), p. 1.

former schools of case method thought.

Jack Lorenz, former dean at Harvard Business School, summarized the academic-oriented nature of the case method as follows: "The essential fact which makes the case system ... an educational method of the highest power is that it ensures the interest of the students by making him an active member than a passive participant."[1] The active participation method has such high face validity that it might seem the obvious to avoid using. Yet experience with experimental teaching methods has shown that such dynamic activity on the student's part does not arise automatically. It must be specifically provided for in the teaching process and continuously kept at it throughout.

In the case approach the students are given not a set of abstract laws to memorize or criticize, but rather a description of real managerial events from a real life situation out of which they are usually given questions and roles to play in their discussion. Furthermore, the conflicts that students can be given include not merely the opposition

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[1] [illegible] Case Method of Teaching Business Administration [illegible] Harvard Business School, 1951.

ity and actually expecting him to make contributions to the understanding of the group is a powerful encouragement to effort.[11] This effort will not be expended, however, unless the proper climate is provided in the classroom to reward such effort. The student must feel free to put forth his ideas and questions without fear of rejection or ridicule from the instructor. Intrinsic value is recognized in the thoughts and contributions of every member of the group, and a sense of sharing is engendered rather than one of mere absorption or grade-seeking recitation. "The valuable art of exchanging ideas with the object of building up some mutually satisfactory and superior notion is cultivated. Such an exchange stimulates thought, provides a lesson in how to learn from others, and also gives experience in effective transmission of one's own ideas."[12]

An interesting insight into how the case method answers the demands of the learning process has recently been given by Dr. Karl A. Boedecker; his conclusions result from actual experience in teaching business administration at

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[11] Ibid., p. 2.

[12] Ibid., p. 6.

Michigan State College.[13] He feels that students must be motivated from within so as to be receptive to stimulation. Participation in cases enables them to identify themselves as businessmen facing a real problem. Vicarious though the case experience may be, it represents a useful means of learning by doing; cases provide incentives because they are reports of real problems involving real people. Furthermore, the students must recognize a goal toward which action can be directed, and the immediate goal must not be too easily attainable. The immediate goal provided by cases is the "solving" of the problems expressed, and the fact that the cases are authentic reportings which offer no simple single-solution vantage point provides the barrier which acts as a catalyst to the learning process. Finally, the students must have an opportunity to establish firmly in their minds what they have learned. The case situation provides an immediate need for useful information applied in the proper context; the necessity to reach a decision and choose a course of action in case after case provides the practice by which students develop discriminating judgment

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[13] Karl A. Boedecker, op. cit., pp. 4-6. For a personal comment by Dr. Boedecker concerning the value of the case method see Appendix A.

and fix in their minds the learning which is truly meaningful.

The type of case method which is being appraised by this study is by nature a problem-solving procedure. But what of its relationship to the scientific method; does it satisfy the requisites of that process of reasoning? The scientific method has been defined as "the application of logic to the process of observation of instances and drawing of inferences therefrom."[14] An instance is a single occurrence of a phenomenon having a definite quantity and a definite association of variables; an observation is accomplished by the medium of the sense organs and instruments contrived to supplement them -- it is perception, a psychological process; and inferences are judgments of relationship based upon observations.[15]

The aim of the scientific method is the reduction of the great variety of natural phenomena to order and system by the development of an ever-widening scope of concepts. The conceptual pattern which guides this endeavor is that of causality; the ultimate aim is to determine cause and

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[14] Marzolf, op. cit., p. 15.

[15] Ibid.

effect relationships.[16] It is important to keep in mind that apparent cause quite frequently varies considerably from true cause. When certain restrictions are placed upon the reasoning process the "common sense" answer to an observed instance may not satisfy as a valid inference. In other words, through the scientific process of reasoning a generalization can be developed, the verity of which will rise above the bias of personal and local culture, prejudice, attitude, ignorance, etc.

Effective case method procedure calls for an ordered sequence of thought toward the solution of problems and the consequent formulation of generalizations. It can and should follow the steps of the scientific method, but not all versions of the technique do. When the scientific pattern is followed, the students analyze the case until the underlying problem is recognized; facts pertinent to the cause of this problem are then singled out, evaluated and organized into a meaningful sequence, with due regard being given to such influences as prejudice, tradition, culture influence, etc. Based upon these evaluated facts a possible solution to the basic problem is hypothesized, and probable

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[16] Ibid., p. 16.

generalizations are formulated. This entire process is carried out by each student independently; then the same sequence is followed by the group in the case discussion, with the instructor acting as a moderator, a guide, and, to a limited extent, as a source of information. A study of cases made in this way is scientific and primarily inductive, for "it involves orientation, observation, reasoning, decision and verification,"[17] and it involves passing from the particular to the general.

As noted earlier, the case methodology may be primarily either inductive or deductive. The inductive organization and presentation of subject matter is based upon the idea that the pupil will learn the content subject matter most readily through the study of individual cases in which the content is exhibited; whereas the deductive procedure presents the law, rule, definition, or concept as the first whole to be considered, followed by individual cases, and the pupil looks for the verification of the generalization that has been studied.[18] "Though scientific procedure is

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[17] J. M. Brewer and others, Case Studies in Educational and Vocational Guidance (Boston: Ginn & Co., 1926), p.xxiii.

[18] H. W. Nutt, Principles of Teaching High School Pupils (New York: The Century Co., 1922), p. 9.

characterized by its dominant use of induction, it is a mistake to say that deduction plays no part in it. The two processes must supplement one another."[19] In other words, when applied to a teaching situation, induction of generalizations from inferences will be greatly enhanced by prior acquaintance with those or similar generalizations; while on the other hand, little meaningful learning will result from rote memorization of laws for possible deductive application, unless some inductive reasoning is employed in the process of personal verification of those laws. This concept of simultaneous operation of the inductive and deductive processes in action has been excellently expressed by Boedecker as follows:

> Under the impact of a series of case problems, the student is encouraged to develop a flexible framework of analysis which will help him to recognize the problem in the case and work thru to a decision. In so doing, the student should learn to separate important factors from a whole set of factors and to decide upon their importance for the particular situation at hand. He should also gain the ability to use ideas learned elsewhere, to select them according to their usefulness in the case, or, to reject them if they are not helpful. The student's way of thinking should also contain the capacity to test what he already knows according to what he later experiences. On this basis a person can continue to grow intellectually

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[19] Marzolf, op. cit., p. 20.

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after his formal education ends.[20]

In addition to the variance between different case method concepts on the inductive-deductive scale, there is an even more pronounced separation regarding the part that principles should play in the learning process. This separation has given rise to two major categories of the case method, defined in the Personnel Handbook as the "free" and the "determinate" types. The "free" type assumes that there is no one best answer; it places emphasis on giving the conferees opportunities for learning and stimulates them to think in broad areas of leadership, rather than forcing a set of principles or solutions on the learner. In the "determinate" approach the leader attempts to guide the group toward a best solution based on his own opinion or group opinion.[21]

Those who advocate the "free" approach -- which includes most of the case users at Harvard University -- seem to define "principles" as immutable laws and contend that as such they are mere words. Actually, upon closer examination, it appears that their attitude is not quite this

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[20] Boedecker, op. cit., p. 4.

[21] John F. Mee, ed., Personnel Handbook (New York: Ronald Press Co., 1951), p. 1007.

other his formal conclusion, when

In addition to the warrants between different case medium concepts on the instrumental-indicative basis, there is an even more fundamental separation separating the acts that psychologies should play in the learning process. This separation has given rise to two major categories of the case method, defined in the psychology literature as the "free" and the "controlled" types. The "free" type assumes that there is no one best answer; it places emphasis on giving the maximum opportunities for learning and stimulation even to which is based upon a learning, rather than having a set of principles or formulations as the learner. In the "controlled" approach the tutor attempts to guide the group toward a most reliable based on his own training or other factors.[1]

Under the heading the "free" approach -- which is a lesser form of the case method in practice (however) -- there is a wide "continuum" of instructional time and learning (and are more work). Usually, some class sessions, or reports are used with writing in the active life

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[1] Cases, Case Studies, and Case Method

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severe. Professor Hower has expressed the true feeling, at Harvard at least, in these words, "It is the meaning behind these principles that is important; and until that meaning becomes a living part of your thought and behavior, the principles themselves are useless."[22] Since rote learning of immutable laws has been accepted as a cornerstone of most conventional methods of teaching for so long, it is quite likely that those of the "free" school have purposely allowed the question of the validity of principles to be exaggerated somewhat in order to start the pendulum swing away from the opposite extreme. Even those of the progressive education group admit that "we need general principles by means of which to carry on the business of life. But the business of life is not with general principles. It is with individual, individualized experiences."[23]

Those who advocate the "determinate" methodology contend that the deductive approach is more effective, because it insists upon substantial knowledge of the field of study

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[22] Ralph M. Hower, in Andrews, ed., op. cit., p. 106.

[23] Jerome Nathanson, John Dewey (New York and London: Charles Scribners Sons, 1951), p. 107.

before inferences from cases are attempted. Tead expressed this attitude as follows: "if the student has some background as to the principles and related experience, then his analysis and solution of the case can be an effective training experience ... To ignore consideration of the general principles and assumptions which underlie and validate every procedure is to lessen the usefulness of case discussions to the point of nullification."[24]

In the casebook compiled by George R. Terry in 1949, a set order of classroom procedure is recommended and the following attitude regarding the use of principles in the learning process is expressed:

> The complete mastery of any subject consists not only of passively absorbing facts and principles, but also of analyzing facts and deriving or applying principles. Theoretical and general background information are essential, but of even greater importance is knowing when and how to apply them ... Although answers to case problems are tentative, it is usually best for the teacher to indicate a decision and recommended course of action. To simply indicate "possibilities" leaves the student bewildered. The recommendation may be the instructor's opinion, a student's opinion, or the majority opinion of the students participating in the discussion and should be so designated by the

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[24] Ordway Tead, Human Nature and Management (New York & London: McGraw-Hill Book Co., 1933), p. 229.

instructor.[25]

Boedecker seems to have synthesized the two schools of thought concerning the use of principles in his application of the case method to business administration instruction. He has concluded that:

> A common experience of students is to try to apply to a specific case some previously learned theory or principle. This is done with the belief that each case must have a "magic key" which will unlock all the doors to the final "right" answer. When the principles do not work that way, it is not surprising to find the students blaming the case either as unrealistic or as not reporting all the facts. The fault, of course, lies in part, with previous training which so largely emphasized the ease with which generalization may be applied, without adequately testing their usefulness in a real situation.
>
> It is incorrect to conclude that generalizations are useless or that they should not be formulated. However, for the business administrator they must be useful. If his tests show them to be inapplicable he had better learn to put them aside and deal with his problem on another basis. In the case method the student is encouraged to form generalizations for the purpose of establishing a pattern or conceptual scheme of thought within which he can reach decisions. For the business administrator this conceptual scheme must be a fluid system of ideas, for he lives in a dynamic world. To adhere to an essentially static set of principles, would hamper his effectiveness as a problem-solver and decision-maker. It is

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[25] George R. Terry, Case Problems in Business and Industrial Management (Dubuque: W.C.Brown Co., 1949), p. v.

> probably a mistake to assume that if one can only discover and apply the "right" principles to a specific case problem, the "correct answer" will follow mechanically.[26]

It has been pointed out that since this thesis is concerned with the development of leadership, its primary concern in the review of the theory and characteristics of the case method lies in the application of the technique to the study of human relations. Many authorities would agree that this application of the method is its most fertile field for success; some would even contend that its only usefulness lies in its application to the study of human relations. Barr felt that "to many persons case studies seem to mean merely the stringing together of facts, objective and otherwise; they miss the fundamental character and contribution of the case study method to education through its continuity with human life."[27]

In regard to the applicability of the case method to human relations studies, Harriet O. Ronken made the following conclusions as a result of her experience:

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[26] Boedecker, op. cit., p. 4.

[27] A. S. Barr, "The Case Study in Education," Journal of Educational Research, Vol. 22, 1930, p. 60.

> The case method is peculiarly applicable to a course which deals with the relations of people, regardless of context. In the very act of participating in discussion, responding to one another's ideas or ignoring them, denying their validity or helping to develop them, the students are engaging in human relations. They have therefore in the classroom a laboratory in their subject. There is no such thing, as every beginning physics student knows, as function in pure form; there is always a system that functions. Similarly there is no such thing as co-operation in a vacuum; there are particular people acting together to attain certain ends. Co-operation becomes a reality for the human relations students as they co-operate in analyzing a case and deciding on appropriate action. The case is the common vehicle through which each member relates himself to the group and is the topic through which individual attitudes are expressed.[28]

The very essence of the value of sharing experiences with others seems to find expression in the ability of an individual to overcome resistance to self-insight. In a recent psychological study of this trait Adorno pointed out:

> That people too often cannot see the workings of society or their own role within it is due not only to a social control that does not tell the truth but to a "blindness" that is rooted in their own psychology. Although it cannot be claimed that psychological insight is any guarantee of any insight into society, there is ample evidence that people who have the greatest difficulty in facing themselves are the least able to see the way the world is made. Resistance to self-insight and resistance to social

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[28] Harriet O. Ronken, in Andrews, ed., op. cit., p. 68.

facts are contrived, most essentially, of the same stuff.[29]

There seems little reason to doubt that the case method, if used with such an end in view, can help to develop personal insight within members of the discussion group. This is a difficult objective, and its success will vary with the individual participants and in relation to the skill of the group leader, but self-insight seems to be a very worthy goal in the learning process and may well be the true key to leadership development. Glover and Hower, in giving pointers on the use of the case method in teaching administrators included this comment:

> Far more difficult than recognizing the unstated and unconscious assumptions of others is recognizing assumptions of one's own. Beyond the phase of recognizing one's own assumptions in particular cases lies that of becoming aware of the assumptions by which one guides one's own life and interprets it and the world about him. Still farther beyond lies the pensive re-examination of these assumptions and values. From this re-examination comes emotional, as well as logical, qualification, rejection, or reaffirmation of these foundations of attitude and outlook.[30]

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[29] W. Adorno and others, The Authoritarian Personality (New York: Harper & Bros., 1950). p. 976.

[30] John D. Glover and Ralph M. Hower, in Andrews, ed., op. cit., p. 22.

[illegible] are neglected, most essentially, of the [illegible].[illegible]

There seems little reason to doubt that the [illegible] or, if used with such as you in view, can help to develop personal insight within members of the [illegible]. This is a difficult objective, and its success will vary with the individual participants and in relation to the skill of the group leader, but self-insight seems to be a very worthy goal in the training process and may well be the sole key to leadership development. Glover and Hower, in giving pointers on the use of the case method in teaching the interpersonal relations course:

> The more difficult than recognizing the validity and acceptable assumptions of others is recognizing assumptions of which one is unaware. Beyond that, that of recognizing one's own assumptions in particular cases like that of accepting some of the assumptions by which one guides one's life as not informed by the world around him, still another degree like the practice in-examination of these assumptions and values, and the re-evaluation where warranted, on basis of logical, qualitative, rationalism, or [illegible] [illegible] of existing [illegible] or [illegible].[illegible]

[illegible] Glover, Hower, The Interpersonal Relations Course, Case Study Bureau, 1[illegible]

[illegible] [illegible], [illegible] in Nursing, [illegible]

In orienting to human situations it soon becomes obvious that the parts cannot be meaningful unless they are studied in relationship to the whole; knowledge of human nature can only be gained through an understanding of man, his relationship with his group contacts, and the influence of his surrounding culture. Pigors and Myers labeled this type of consideration, "situational thinking," and postulated that "in trying to understand people, we need to think about relationships among individuals, and between individuals and the 'wholes' to which they belong."[31]

In the course of this search for understanding of mankind, benchmarks are sought in the book of the social scientists which can be employed as criteria for judgmental decisions. Scott and Lynton have found that mythical book to be rather sparse as regards principles which have achieved general acceptance. However, they have set down the following six statements which they feel summarize the theories most generally accepted today in the field of human relations:

> 1. Man is a social animal: by which is meant that a very considerable part of his behavior is inculcated by his culture and social environment,

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[31] Paul Pigors and Charles A. Myers, Personnel Administration (New York & London: McGraw-Hill Book Co., 1947), p. 38.

but not that his individuality is sacrificed to the herd instinct as is the case with say, bees and ants.

2. An individual's behavior is a composite of his reflexes, trained reflexes, socially conditioned habits and thought -- all four. The normal response in any given situation is a response of the whole being. This response is always a product of heredity, plus total experiences, plus capacity for novel thought.

3. In all his complexity each individual is unique: but though the whole defies quantitative assessment, aspects of people's makeup and activities can be usefully measured.

4. A group of individuals has a distinct character and can be considered as a unit for some purposes: which means that the group is something more than the sum of its parts, namely, a system of relationships among individuals, which modifies the behavior of members; but not that it is an organism in the proper sense, in which the parts would merely be cells of the larger unit.

5. A system of human relationships is a complex balance: a change introduced into the system will have manifold effects as the system reachieves an equilibrium integrating the new element, or seeks to regain its old equilibrium without it.

6. The relationship between cause and effect is always complex: ... any change is likely to have rarefying effects, with causes producing symptoms and symptoms causes.[32]

Dubin has reinforced this conviction that man can gain valuable skill in the science of dealing with his associates

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[32] Jerome F. Scott and R. F. Lynton, in Andrews, ed., op. cit., p. 256.

through study of human organization. He contends that the state of our knowledge about the formal organizations of society has reached the point where we have "both systematic knowledge and reinforced insights. It should be possible to distill out of the fund of human knowledge a system of principles -- theory, if you will -- about human organizations."[33]

Those accustomed to the seeming exactitude of the principles of physical science will contend that conclusions such as those presented in the preceding paragraph do not form a logically consistent system. It is true that such principles cannot be expressed in mathematical terms, and it is questionable whether they will ever reach the degree of concreteness known in the field of physical science. However, the acceptance of the theory of relativity seems to make the contrast one of degree of exactness rather than one of general vs. unique. Stein has expressed the meaning of this difference as it relates to the study of public administration as follows:

> The primary difference seems to be a question of manageable variables. At least to the layman

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[33] Robert Dubin, Human Relations in Administration (New York: Prentice-Hall, Inc., 1951), p. vii.

> it appears that the problems of physical science can be so isolated for practical purposes that all the relevant variables can be determined with precision. In dealing with the materials of the social sciences, the problems are so infinitely more complex that all the relevant variables cannot be effectively isolated or precisely determined. In consequence, generalization for the student of public administration is far less definitive than for the student of physics or chemistry.
>
> There is a further important respect in which generalization differs in the two kinds of science. The facts of the physical scientists' world are essentially neutral and unaffected by criticism: no wars will be waged, no hearts broken over the digits set down when the value of pi is determined to another hundred places past the decimal point; nor do the physical properties of uranium change when an article is written about them. But the facts with which the social scientist deals are in themselves loaded with values, and susceptible of reaction.[34]

It follows naturally from the above conclusions concerning the nature of human relations principles that social values will exert a major influence upon group and individual behavior patterns. Both local and external social codes must be studied and applied before use of principles can be meaningful in human relations studies. It has been found that the case method can take these codes into consideration if the group attitude developed permits acceptance of such factors in the discussions. Ulrich has commented on this relationship as follows:

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[34] Stein, op. cit., p. xxiii.

> Few cases can be unravelled very far before matters of objectively established fact lead to questions of interpretation and judgment. Interpretation and judgment in turn depend upon the underlying social values held by the person studying the case. Critics of the case method say that since it deals with only one case situation at a time, it offers the student no opportunity to recognize the general social problems implicit in the whole series.
>
> This limitation is not inherent in the case method. To be sure, the student will have no opportunity to raise questions about social value, if the teacher feels that such questions lie outside the scope of discussion. In turn, the teacher's willingness to hear the students depends on his willingness to subject his own values to critical scrutiny. The stimulus for deeper social thinking by the student may come either from student or teacher, but it must be accepted by the teacher within the working context of the course. With skilled instructors, a student may bring his preoccupations about social values to bear upon virtually any case. He may recognize the limits to his own perspective and acquire deeper insights. Thus he can relate questions of value to problems of action, instead of dealing with them in a vacuum.[35]

In the chapter on the nature of leadership it was pointed out that proficiency in the science of human relations is one of the requisites of military leadership. It is also to be recalled that the basic conviction which motivated this study was the need for a formal program for officers in the navy which would develop personal insight and

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[35] David N. Ulrich, in Andrews, ed., op. cit., p. 27.

scientific problem-solving ability in the human relations field.

Arthur K. Davis, a sociologist who served as an officer in the navy during the war, made a study after his return to civil life that offered some interesting conclusions. These conclusions strongly support the attitude that there is a definite need in the navy for the introduction of some leavening factor which will open the institutional mind to a broader concept of leadership. His specific hypothesis was:

> The effective performance of the manifest functions of a military bureaucracy required a certain type of occupational discipline and formal organization; these in turn tend to create inherent pressures toward recession of goals, occupational ritualism, and professional insulation; which in turn may alter the actor's definition of the situation so as to impair systematically his effectiveness in carrying out the manifest functions of the bureaucracy.[36]

He concluded that there is considerable evidence from the navy officer corps which affirms his hypothesis and which helps to explain why conventional career soldiers have frequently resisted essential innovations like automatic firearms, tanks, air power, and the unified command.[37]

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[36] Arthur K. Davis, in Dubin, op. cit., p. 348.

[37] Ibid., p. 361.

[illegible] psychologically satisfy in his human relationships [illegible].

[illegible] Jones, a sociologist, has shown us a typical case in the [illegible] Jones was, with a strong urge for [illegible] [illegible] [illegible] and interesting occupations [illegible] [illegible] [illegible]

Before proceeding to a study of the characteristics of the case method in action, there is one final basic aspect which should be considered -- that is its treatment of factual knowledge. At first glance it would appear that this method does not provide for any transfer of factual knowledge, but a deeper consideration shows that there is actually a unique opportunity presented in the study of cases to motivate the students to the learning of an even larger amount of textbook type material than is found in the conventional approach. In the study of cases, the students deal with knowledge in the context of its use by the people in the case and in the classroom to meet the needs of the situation. For most, it creates an incentive to acquire knowledge, since the student can continually perceive his need for knowledge in dealing with problems requiring action.[38] Boedecker expressed this aspect of the case approach as follows:

> Cases, of course, contain technical information in the same sense that textbooks do. But cases go further than textbooks. The case problem presents a strong motivation for seeking background information and knowledge. Information sought for specific reasons is better based than that which is "learned" because it may be helpful someday when you are out of school.[39]

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[38] Ulrich, loc. cit.

[39] Boedecker, loc. cit.

Characteristics of the Case Method

The case method consists of considerably more than the assignment of cases and the application of techniques for conducting discussions. If properly used, it involves a rather difficult methodology in which the role of the teacher, the role of the student, and the process of decision-making must be mutually understood and carefully observed. One basic consideration is the necessity for realization by both the teacher and the students that students will not acquire new understanding until they are ready to do so. "They cannot superimpose new attitudes upon existing ones. The process requires change of the existing structure. Change must occur especially in certain attitudes that function as obstacles to learning. These attitudes take many forms, according to the personality of the individual student."[40]

The process of attitude-changing occurs best in an atmosphere which is not only student-centered but also one in which a motivating rapport has been established. The good instructor in the case system will realize and admit that he has no monopoly on ideas. He will encourage his

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[40] Ulrich, loc. cit.

students to joint effort in the quest for knowledge, putting forth ideas of his own only when it is appropriate for him to do so as a member of the discussion group, and then with the understanding that his ideas are to be weighed and tested along with those of each student.

> When the students do not promptly bring up the points he considers important, he resists the temptation to "let go" and lecture at them, for he recognizes that they can learn only at the level where they are, not at the level where he would like them to be. He remains sensitive to class moods, continually judging where to turn his attention next among the students, when to develop or drop a subject under discussion and when to drop one case for another. With the proper leadership, student-to-teacher recitation should give way to more and more frequent discussions among students, with the instructor acting as a participant or as an observer of the discussion process.[41]

Some of those at Harvard would insist that the instructor should rarely, if ever, drop the role of the observer, but this attitude does not seem to be generally shared.

In the interest of pursuing the contrast in opinions concerning the role of the teacher, some other attitudes will be cited. Returning to the student-centered concepts of Rogers, the following role is prescribed for the leader:

> Initially the leader has much to do with setting the mood or climate of the group ex-

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[41] Ulrich, op. cit., p. 30.

perience by his own basic philosophy of trust in the group, which is communicated in many subtle ways.

The leader helps to elicit and clarify the purposes of the members of the class accepting all aims.

He relies upon the student desire to implement these purposes as the motivational force behind learning.

He endeavors to organize and make easily available all resources which the students may wish to use for their own learning.

He regards himself as a flexible resource to be utilized by the group in the ways which seem most meaningful to them, insofar as he can be comfortable operating in these ways.

In responding to expressions from the group, he accepts both the intellectual content and the emotionalized attitudes, endeavoring to give each aspect the approximate degree of emphasis which it has for the individual and the group.

As the acceptant classroom climate becomes established, the leader is able to change his role and become a participant, a member of the group, expressing his views as those of one individual only.

He remains alert to expressions indicative of deep feeling and when these are voiced, he endeavors to understand these from the speaker's point of view, and to communicate this type of understanding.

Likewise when group interaction becomes charged with emotion, he tends to maintain a neutral and understanding role, in order to give acceptance to the varied feelings which exist.[42]

A somewhat similar attitude to that of Rogers and one which is less self-abnegating than that held by the Glover and Hower group at Harvard is expressed by Gragg as follows:

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[42] Carl Rogers, Client-Centered Therapy (Boston & New York: Houghton Mifflin Co., 1950), p. 402.

[illegible]

[illegible]

[illegible]

> Under the case system, the instructor's role is to assign the cases for discussion, to act as a responsible member of the group delegated to provoke argumentative thinking, and to guide discussion by his own contributions and questions toward points of majorimportance; and, if he chooses, to take a final position on the viewpoints which have been threshed out before him. The more powerful are the student arguments, the heavier is the burden on the instructor; he must understand and evaluate each contribution, many of which are new to him, regardless of how thoroughly he has studied the cases or how many times he has used them with previous classes. To the instructor, every class meeting is a new problem and a new opportunity both to learn and to help others to learn. The important question under these circumstances is not whether the student pleases the instructor, but whether he can either support his views against the counter-attacks and disagreements of others in the group, or, failing to do so, can accept cooperatively the merits of his antagonists' reasoning.[43]

Tead held a more authoritarian view than that of Gragg for applying the case method to business. His concept of the leader's role was:

> In short, put individuals into a problem situation; guide the process by which they consider the ways out and they decide to try one likely alternative; stir them by the prompting of a strong desire to get themselves out of a difficulty; then help by suggesting the relative merits of the alternatives which they are considering to show how one particular line of action seems likely best to fulfill their desires; and, finally, get them to try it out. This is the formula for the executive leader who would put his people through an effective learning process.[44]

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[43] Charles I. Gragg, in Andrews, ed., op. cit., p. 7.

[44] Tead, op. cit., p. 70.

Again, the conclusions of Boedecker seem to provide the best synthesis of the two extremes which a case instructor might represent. Excerpts from his conclusions are as follows:

> The teacher must listen carefully to what students say ... to hear meanings expressed in feelings and attitudes ... The skill of the teacher rests in lifting up these meanings so students can examine them and learn about them.
>
> Secondly, the teacher should remain silent long enough to allow students to express their ideas ... If he firmly believes that students have a responsibility for learning, then he must honor the opportunity for them to exercise that responsibility.
>
> Thirdly, the teacher must, through the exercise of great skill, create an environment in which students are encouraged to verbalize at length the ideas that they tend to express in abbreviated form. In general, this means that the dignity of the student must be respected, that his ideas are not to be sarcastically ridiculed, and that his intellectual contribution, even though not overwhelming in importance, is recognized as having led in some way to understand the problem of the moment.
>
> Fourthly, those who teach with cases must learn to use judiciously the authority which naturally surrounds the teacher ... little is to be gained and much lost by trying to establish the teacher as a mental superior who may be appealed to in support of opinions or actions. ... it is doubtful that a single instructor can match the collective capacities of a class to see all the facets of a case.[45]

One final point worth considering in connection with the role of the teacher is the probability that a certain

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[45] Boedecker, op. cit., p. 2.

[illegible] the conditions of [illegible] exist to provide [illegible] opportunity of the [illegible] [illegible] or right [illegible]. Letter to [illegible] conditions are as follows:

> The leaders must [illegible] [illegible], so [illegible] [illegible] ... to avoid [illegible] [illegible] [illegible] and [illegible] ... The [illegible] [illegible] [illegible] [illegible] [illegible] [illegible] [illegible] [illegible] [illegible] [illegible].
>
> Thoroughly, the leader should [illegible] [illegible] [illegible] [illegible] [illegible] ... [illegible] [illegible] [illegible] [illegible] [illegible] [illegible] [illegible] [illegible] [illegible]

amount of counseling will be required by some of the students as a natural by-product of the student-centered role which produces a new experience for many of them. It has generally been concluded that the counseling role can be carried out more effectively by some administrative official other than the teacher, but in many instances there will be no person other than the teacher to whom the student may turn. In commenting on this adjunct of the case system, as it affects the student, Fox has said:

> One of his basic difficulties is found as a rule to be his failure to realize that the case method is attempting to increase his power of analysis and simultaneously is requiring that he come to know his own strengths and limitations. In this process the instructors are not fulfilling the role that he expects of them, namely, sorting out the important from the unimportant. Rather, they are asking him and his fellow classmates to examine a whole range of areas and reach their own conclusions.
>
> Often the student is especially upset by the way one or two instructors conduct their classes, claiming that these men never give them any answers at all. The student is usually also bothered by what he calls the amount of class time wasted by his fellow students, and raises the question, why does the School permit this to happen. The amount of time that is required to reorient successfully the men in this group varies widely, but the minimum is between ten and fifteen hours and some cases may require up to thirty hours. Without this attention we know that these men will not only fail to develop themselves as they should but in many instances will begin to retard the growth of some of their fellow students, and it has been known that they have ad-

versely affected the progress of a whole section.[46]

For the student, exposure to the case method is usually a new experience which is quite different from any previous exposure to the educational process. He must learn to ask questions of himself which heretofore have been asked by the teacher. He must observe what is going on within the limits of the case according to the facts provided on the printed page. These facts must be weighed as to relevance, authenticity, and emotional loading; then they must be organized in such a fashion that the basic problem to be solved can be identified. When the problem has been refined, the facts must be evaluated in the light of that problem and a tentative solution formulated, to be tested by the synthesis of experience inherent in the discussion group.

The student or conference member must learn to listen to what other group members have to say without a pre-formed conclusion which resists intrusion. He must overcome resistance to insight in order better to evaluate his own prejudices and culture and their influence on his problem-solving ability. In a word, he must gain a new appreciation

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[46] John B. Fox, in Andrews, ed., op. cit., p. 48.

[illegible] adversely affected the progress of a whole nation.[illegible]

[illegible] the economy, according to the same method is usually a non-correlation which is quite different from are interview approaches in the social [illegible] problems. It would seem to ask questions of a social which particularly have been asked in the [illegible]. In such cases we need to point out which [illegible] of the case study [illegible] in the [illegible] values of the [illegible] study. These facts can be verified as relationship, probability and evaluation. Findings then may well be different in [illegible] reason that the social problems so [illegible] can be investigated. Once the problem has been [illegible], the [illegible] work is evaluated in the light of [illegible] problem and a [illegible] relation formulated, to be tested by the [illegible] of appropriate instruments in the [illegible] process.

The [illegible] of [illegible] [illegible] [illegible] to [illegible] [illegible] [illegible]

of the fallibility of his own conclusions and a new open-mindedness toward hearing and accepting the valid conclusions of others.

In addition to the teacher's role and the student's role, consideration must be given to the structure of the case. The skill with which the case material is gathered and recorded probably has as much effect on the outcome of the entire program as any other element involved. That, however, is a study in itself and is beyond the scope of this thesis. All that needs to be clarified here in relation to cases is the definition and function thereof. One concept which is appropriate to this study considers a case to be:

> A crystallized set of facts, a report of an episode, taken from a real-life business situation involving people. It presents a problem or series of problems for consideration by the student. In the sense that there is more than one useful or workable course of action which students choose, a case has no single correct "solution" or "answer." The function of the case is to pose a situation in which facts, opinions, and judgment are in conflict. The conflict leads to analysis, decision and action.[47]

The process by which agreement and mutual understanding is achieved presents one of the most complex elements of the case technique. The procedure which should be followed by the individual in attacking a case problem has been expressed

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[47] Boedecker, loc. cit.

of the reliability of his own observations and a new qualification toward courtesy yet of giving the valid conclusions of others.

In addition to his teacher's role and the attorney's role, counselorship must be given to the plaintiffs of the case. The social worker must use the interview to develop rapport with the client or the members of the waiting [illegible] who are involved. Then, however, he [illegible] the client and [illegible] the course of the interview. [illegible] the [illegible] in relation to other [illegible] involved. The counselor must be [illegible] to take every [illegible] a case in [illegible]

[illegible]

by Peterson and Plowman as follows:

> 1. He must visualize the present situation as related to the basic principle or principles that have been developed.
>
> 2. He must visualize the manner in which application of the basic principle will be modified in the particular case or situation. Precedents help by indicating what modification was necessary in particular circumstances.
>
> 3. He must visualize what new circumstances are present in the current problem which will tend to strengthen or defeat the implications of the past.[48]

When the individual's solutions are shared in the case discussion there must exist an atmosphere which permits spontaneous expression of feeling. "We should expect that when there is greater correspondence between what members say and what they intend to say, when members are willing to make public to the group their real attitudes, creative ideas, and true feelings, then it is more possible that mutual understandings will be developed."[49]

Another problem which will plague even the experienced case instructor will be the decision as to how much time to allow for discussion of each point. Success in educational

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[48] Elmore Peterson and E.G. Plowman, Business Organization and Management (Chicago: Richard D. Irwin, Inc., 1942), p. 468.

[49] Thomas Gordon in Carl Rogers, op. cit., p. 380. See Appendix B also for a discussion of the relative value of "outside" vs. "local" cases and a recommended sequence of case analysis.

endeavor has for ages been measured by the amount of subject matter covered, rather than the amount uncovered. There is much to be said in favor of allowing considerable flexibility in the time schedule in case discussions. Stein has expressed the conclusion of public administration case teachers on this problem as follows:

> One other conclusion of those who have been testing the cases in the classroom may deserve mention here: the desirability of allowing enough time for ample exploration of the issues in each assigned case, and, to the maximum extent feasible, the desirability of allowing enough flexibility in the course curriculum to permit some variation from schedule in the length of time actually devoted to the assigned cases ... if the educational function is to be fulfilled, the students' questions, whether wise or naive, must not be suppressed; they may be unanswerable because our knowledge is inadequate, but the elucidation of why a question is unanswerable is in itself a useful exercise.
>
> Another reason for allowing ample time for discussion, and for avoiding any rigid appropriation of class time to each case, is the newness of the technique to students of coping with classroom materials in which their chief task is to solve problems dealing with human beings.[50]

A word of caution is appropriate at this point, lest the issue be oversold. Some may conclude from the emphasis upon a client-centered technique and the insistence that the teacher be merely a member of the group rather than a source of answers that there is no place for lecture in the

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[50] Stein, op. cit., p. xxxii.

case program at any time. Fuller has offered a valuable definition of the unique place of the lecture in the case method and a delineation of the pattern of its structure:

> No matter what approach he takes, the instructor will do well to indicate that his remarks are only one man's way of putting together what seemed important to him in the class development. He will offer his lecture as a sample of the kind of thinking he has been trying to stimulate in class and he will encourage the students to make their own efforts to apply this thinking not only to the course work but to other facets of their lives. In this way the instructor serves a two-fold need; first he gives the students some leads about how to put together a variety of factors that have emerged in a specific situation (the course); he is illustrating situational thinking. Secondly, he is satisfying a very real need of his own. As a member of the social system that is the class, the instructor has certain purposes and feelings. If his relationship with his students has been properly developed, he can respect these purposes and express these feelings from time to time without being considered authoritarian and without taking from the students the initiative they must exercise to make this kind of course a success.[51]

Experience at Harvard has revealed that there are at least five different approaches which students use in "solving" cases. These have been referred to as:

1. The "Who-done-it?" approach -- find the evidence, locate the guilty party, and mete out punishment;

2. The "What is the problem?" approach -- the inclination to dismiss the case at the outset if "the problem" is

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[51] Frances M. Fuller, in Andrews, ed., op. cit., p. 83.

not readily obvious;

3. The "We don't have enough information" approach -- leads to speculation rather than analysis;

4. The "Is it true?" approach -- instead of "Why are these things important whether they are true or not?";

5. The "favorite thesis" approach -- characterized by the type of attitude that says "This is clearly a problem of lack of two-way communications, and management should do something about it."[52]

When the student comes to the point of recognition of the bias which produces one of the five stereotyped approaches, he begins to realize that "we all look at the world through our own particular pair of glasses, with one lens labelled 'attitudes' and the other 'assumptions.' The material from which these lenses are ground is, of course, our experience, education, personal history, and so on. Whether the glasses aid or inhibit our way of looking at the world, however, depends on how we have assimilated these things."[53]

To complete the discussion of the characteristics of the case method it is necessary to consider the objections and limitations which have been experienced in connection

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[52] Ibid., p. 88.

[53] Ibid.

with its use. Probably the most usual complaint is that the case appears unrealistic or incomplete to the student. This can be a valid objection if the case has not been carefully and professionally drawn from a real life situation. The complaint will still be raised by many even when the cases have been well prepared. In this event the student must be taught to realize that never does one have all of the facts; the expert administrator is the one who can make adequate decisions with an appreciation of the limitations involved. In a sense, this adds additional value to the case approach, in that it emphasized a real-life situation which the student must learn to face.

Another objection to the case itself which is often raised is that it is either so complex that it causes the student to become lost in the mass of complicated factors, or it is so "pruned" that it presents only a single issue -- a situation which can not be true to life.[54] This again is a problem of proper case preparation which this study will not pursue.

Probably the major objection to the case method is its apparent slow pace when compared with the chapter-a-day type of educational process. The need for thorough discussion

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[54] Figors and Myers, op. cit., p. 323.

and a permissive attitude toward student's comments has been discussed earlier; it is obvious that this procedure can be time consuming. Yet, many of those who have taught both the conventional and the case method feel that real learning can progress at a better pace in the latter program despite the apparent slowness of advance.

Most of the other objections which have been raised arise from abuses on the part of the instructor. It has been found that more individual attention must be paid the students than is generally necessary in other methods. Their individual shortcomings must be recognized and corrected in order for them to develop confidence in themselves.[55] Furthermore, if the instructor insists that he has the right and only answers and conceives his duty to involve pounding those answers into the students, the unique characteristics of the system will be perverted, and the opportunity for reaching responsible judgments on the basis of an original analysis of the facts is denied to them.[56]

A few pointers have been given by some instructors who have used the case method under a number of different cir-

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[55] J. P. Manildi, "Case Method of Teaching on the Senior Level," Journal of Engineering Education, Vol. 41, June 1951, p. 586.

[56] Gragg, op. cit., p. 9. See Appendix B also for a discussion of limitations of the case method.

and a correlative position toward [illegible] emotions has been discussed earlier in the sections that with procedures can be [illegible] [illegible]. Yet, many of those who have [illegible] with the [illegible] [illegible] [illegible] feel that real learning can [illegible] [illegible] a better [illegible] in the future. Teachers [illegible] [illegible] [illegible] [illegible].

Many of the other objectives which have been raised [illegible] [illegible] on the part of the instructor. It has been found that more individual attention must be paid [illegible] [illegible] [illegible]

cumstances. These which appear to be applicable to this study are excerpted below:[57]

1. Require written reports to be prepared by the students in order to insure that they work out the solution in their own mind.

2. Allow and encourage maximum participation in discussions and full coverage of each case, within a reasonable time limitation.

3. Provide at least a two hour session for each meeting.

4. Restrict the group to around twenty members. (However, at Harvard Graduate Business School a minimum of 40 students per group is desired.)

5. In a formal school program, vary the choice and sequence of cases each semester to discourage a tendency toward "pat" answers.

6. The classroom procedure should be varied frequently. Purposeful use of visual aids and special techniques such as role-playing can be very effective at times.

7. Recommend and encourage outside reading as it is sought by the students, rather than as a required assignment.

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[57] Excerpted from Glover and Hower in Andrews, ed., op. cit., p. 19, and Manildi, op. cit., p. 584.

In view of the fact that this study is not going into the details of case construction, it does not seem appropriate to include a complete sample case. Attention is invited, however, to the first case, "Baker Advertising Agency" given on page 387 of Dubin's new casebook, Human Relations in Administration. In addition to the case itself, verbatim recordings of two different class discussions on the case are given. From a study of these sample class discussions Dubin points out three important points to note:

> 1. There is no "answer" to the case. The two groups came to different conclusions.
> 2. ... The emphasis is on finding out how things have reached their present state of affairs. How and why are the questions being asked and answered ... When you ask how a situation came into being, your answer must be couched in terms of understanding ... When you ask why a situation is as it is, your answer is in terms of generalizations or principles that interrelate variables ....
> 3. You will see that the analytical method has two general parts. The first general step in a case analysis is to sort out and discuss the separate and distinct elements of the situation. The second step is to order and integrate these elements into a coherent whole.[58]

Summary

This chapter has reviewed the background, theory, and characteristics of the case method of instruction. It has been noted that this is not a new method nor one which is

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[58] Dubin, op. cit., p. 385.

confined to any single educational area. It is primarily a student-centered technique which employs a scientific problem-solving process of reasoning. Though vicarious in nature, there is learning by doing, and an immediate goal is provided by the necessity of evaluating facts and opinions in order to identify and "solve" the basic problems presented in the cases.

Approach to a case solution may be inductive, deductive, or a combination of both, depending chiefly upon the point in the learning sequence at which the case is introduced. The scientific method is primarily inductive, but for most effective balance the two processes must supplement one another.

There are two major schools of thought regarding case methodology, the division being concerned basically with the part which principles should play in the learning process and the procedure which should be followed in teaching specific principles. The "free" type of methodology contends that there is no one best answer to any case and that principles are merely words unless they become a part of one's thought and behavior. In the "determinate" approach the leader attempts to guide the group toward a best solution based on his own or group opinion, and it insists that stu-

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dents have substantial knowledge of the field of study before inferences from cases are attempted. The synthesis of these two extremes might be designated the "experimental" approach. It would accept the existence of valuable generalizations, but only in the dynamic sense that each principle must be tested in the context of a real situation before it can be applied meaningfully in the process of solving real-life problems.

The case technique appears to offer special applicability to the study of human relations by virtue of the fact that the case discussions are human relations laboratories in themselves. Through learning to share experiences and to reason with others, the student can develop his senses of perception in a dual range. Not only can he learn to hear and esteem more acutely what his associates have to contribute to the group process, but also his own resistance to self-insight can be reduced to the point that ingrown prejudices are leavened enough to allow a more objective social consciousness to emerge.

The present state of man's knowledge of acceptable principles in the social sciences is still meager and largely controversial. Nevertheless, many feel that so long as those principles are recognized as generalizations which

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are loaded with changeable social values and are not applied as immutable laws in an attempt to structure the lives of men, then there will be measurable reward resulting from a study of the formal and informal organizations of society and the codes of values which stem therefrom. An understanding of the existence and effect of both the local and external culture influences upon human relations is one of the primary aims of studies in sociology, and one which the case method, by nature, appears to satisfy better than other educational devices.

The need for some means of overcoming, or at least lessening, the detrimental effects of bureaucracy in the navy has been demonstrated. Certain natural outgrowths of the institutional mind, such as occupational ritualism and professional insulation, tend to impair the naval officer's ultimate effectiveness in fulfilling the requirements imposed by the formal institution. In other words, the military organization, which best achieves its aims through open-mindedness and flexibility toward new developments and new ideas, by its rigid nature also develops a stereotype leader who resists the plasticity of mind which will accept new innovations in any area.

The most critical characteristics of the case method

are loaded with changeable moral values and are not applied as immutable laws in an attempt to structure the life of man, then there will be considerable unwanted resulting from a study of the formal and informal organizations of society and the roles of those within them therefore. An understanding of the existence and effect of both the local and external culture influences upon human relations is one of the primary aims of studies in sociology, and one which the case method, by itself, appears to satisfy better than other educational devices.

The need for some means of overcoming, or at least lessening, the occasional effects of bureaucracy in the army has been mentioned. Certain natural subgroups of the institutional order, such as occupational fraternities and professional associations, seem to supply the moral attributes which are lacking in qualifying the impersonal imposed by the formal institution. In urban work, the military sociologist, which, and business in also brought more [illegible] [illegible] [illegible]

seem to be: the nature of the class atmosphere, the role of the teacher, the role of the student, the case structure, and the method of reaching mutual agreement in case discussions.

The process of attaining skill in the art of human relations is largely a matter of developing a plasticity of mind which will allow attitudes to be changed readily. This development has been found to occur best in a student-centered atmosphere which views the classroom process as one of mutual effort rather than one of mere one-way absorption.

The good case teacher should regard himself as a moderator and a catalyst, a flexible source rather than an oracle with the one and only right answer. He learns to listen to what each member of the group has to say and attempts to develop the same trait in each of them. His contributions to the discussion must be reserved until the group process has prepared the group for them, and then presented in a manner which will allow testing and evaluation by the students. He need not be self-abnegating, but he must be humble and must exhibit the flexibility of mind which he is attempting to develop in the students.

The student's role is one which will present a new

experience to many accustomed only to conventional methods. He must realize that student-centered learning carries with it a much greater responsibility than he has known before. He must ask questions of himself which heretofore have always been asked by the teacher. He must learn to hear his associates with an openness of mind which will spotlight his own prejudices and deviations from objective reasoning. By this process, he must overcome resistance to self-insight, so that he can successfully change his own behavior in addition to prescribing changes for the characters in the cases studied.

The cases themselves must present as objectively as humanly possible an authentic reporting of the happenings of a real-life episode, complete with feelings expressed and social atmosphere prevailing. They must be simple enough in structure to avoid creating complete confusion in the student's mind, yet complex enough to embody more than a single "pruned" problem.

The process of decision-making by the group must be guided but not coerced. It must allow relatively complete discussion of all points in each case, relying on group motivation toward solution of the case problems to provide the monitoring necessary to stay within time limitations.

Change-of-pace must be allowed and encouraged through the purposeful use of lecture, visual aids, role-playing and other techniques which are demanded in context by the group.

Most of the objections raised against the case system of teaching stem from abuses on the part of the teacher. There is no doubt but that the technique will be much more effective if competent discussion leadership is provided. Nevertheless, there seems to be nothing insurmountable in the role of the instructor, and consequently no reason to believe that case teaching could not succeed without professional presentation. If both the group leader and the group members attain an adequate understanding of the general theory and characteristics of the case method and take full advantage of specific procedural rules and pointers, such as those given earlier in this chapter, it should offer untold possibilities for successful application to any learning situation in which the substantive matter can be expressed in the form of real-life cases.

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CHAPTER V

USES AND RESULTS OF THE CASE METHOD OF INSTRUCTION

Introduction

The theory and characteristics of the case method of teaching have been studied, and different versions of the technique have been noted and compared. In this chapter some of the uses made of the case technique in the fields of education, business, and the military will be discussed.

Case Method in Education

It was noted in the discussion of the background of the case method that Harvard University had served as the seed bed, and that the methodology had spread from there into almost every field of education and over a large part of the United States. A brief account will be given at this point of the results which have been recorded over the nation, with particular emphasis upon the experiences at Harvard.

Within the realm of institutional education the case method has been tested and found successful in the teaching of a vast number of subjects. Uses and results noted in the areas of teaching, psychology, public administration,

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engineering, and human relations will be discussed. All of these applications of the case technique have employed a student-centered approach with cases providing the basic substantive matter for discussion, but methodology has varied considerably among the various users.

Studies have shown that general results of student-centered group training experience include "marked changes in attitudes toward others, increased understandings of self, and increased clarity of goals."[1] Effectiveness of the carry-over of these changes into actual behavior will depend to a great extent upon the individual and the motivational factors operating. Ulrich has defined this limitation as follows:

> While classroom discussion undoubtedly brings about changes in students' attitudes and increases their capacity for discriminating insights and judgments, it is difficult to identify any direct connection between these changes and the students' actual skill in situations requiring administrative action. If the student makes a conscious effort to bring newly gained understanding to bear upon events outside the classroom, he can modify and adapt his behavior accordingly. On the other hand, it is possible for a student to keep what he has obtained in class at a purely verbal level and to continue with his pattern of responses to actual events unchanged. Much more needs to be known

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[1] Thomas Gordon in Carl Rogers, Client-Centered Therapy (Boston & New York: Houghton Mifflin Co., 1951), p. 340.

about the factors motivating actual change in behavior as a result of education in this area. Essentially, there is no doubt that change depends on students' sensing the need for it.[2]

As early as 1923 the case method was tested experimentally at the University of Illinois in a course in "Special Methods in Teaching Agriculture." One section was taught by the case method and another by the conventional lecture, text-book, discussion method. Although the experiment was crude and many variables could not be controlled, a final test given to the two groups resulted in a better showing for the case group. The investigator, Aretas Nolan, concluded that in the study of cases the students developed power of pedagogical reasoning, discrimination, and judgment which would carry over more successfully to practice than that gained by the group studying only theory.[3]

As a result of a test of the technique conducted in a teachers' college, Diana Sperle concluded in 1933 that:

1. Students grow in ability to recognize, analyze, and solve problems in their teaching situation.

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[2] David N. Ulrich, in Kenneth R. Andrews, editor, The Case Method of Teaching Human Relations and Administration (to be published in 1952), p. 31.

[3] Aretas W. Nolan, "The Case Method in the Study of Teaching with Special Reference to Vocational Agriculture," (Ph. D. Dissertation, University of Illinois, 1924), p. x.

2. Students take an active and objective part in their own professional and personal development.

3. Students develop leadership and intelligent followership through the give-and-take relationships set up by this technique.

4. The program of training is made more meaningful by the use of case problems that are contributed from the student-teaching field.

5. Campus conferences in which the main activities are based on the case problems encountered during the intervening period are very valuable.

6. The college courses of instruction are professionalized not merely in theory but in fact.[4]

A recent application of the case method to the study of child and adolescent psychology has been reported by Griffiths and Hobday at Ohio State University. They concluded from their use of the technique that it taught the students to develop principles rather than to acquire a conglomeration of unrelated facts. The use of cases seemed to meet the need for liberalizing a professional course, and they found that the enthusiastic acceptance of the technique given by the students far exceeded their hopes.[5]

In the study of public administration, cases have been

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[4] Diana H. Sperle, "The Case Method Technique in Professional Training," (Ph. D. Dissertation, Teachers College, Columbia University, 1933), p. 66.

[5] Daniel E. Griffiths and Arthur F. Hobday, "A New Kind of Case Study," Educational Research Bulletin, College of Education, Ohio State University, January 16, 1952, pp. 19-28.

used to develop an attitude which has room for both dispassionate analysis and critical judgment. They act as a corrective for premature and cock-sure generalizations. "If the individual case invites cautious generalization and provides touchstones against which to test prior speculation and hypothesis, the case collection opens up a far larger opportunity for such discipline."[6]

Even some teachers of the physical sciences have used the case approach. Manildi has reported that Carnegie Institute of Technology now uses cases in both graduate and under-graduate engineering instruction, with emphasis on the technical features of the problems. General Electric Company's Advanced Training Program has used the case method for a number of years now; this might be interpreted as a recognition by industry that the normal engineering program at universities is lacking in this type of training.[7]

As has been noted earlier, the most widespread and probably the most effective use of the case technique has

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[6] Harold Stein, editor, Public Administration and Policy Development (New York: Harcourt, Brace & Co., 1952), p. xxvi.

[7] J. F. Manildi, "Case Method of Teaching on the Senior Level," Journal of Engineering Education (Vol. 41, June 1951, p. 586.)

been in the teaching of human relations. Dubin has concluded from his experiences in the use of cases that it produces an inductive basis for arriving at generalizations and an understanding of the behavior that we call administration. He feels that joint analysis of cases gives one a great deal more insight into his own thinking, and the process of working together with others in thinking through phases of a case develops respect for other people.[8]

One of the pioneers in the use of the case method in teaching business administration and human relations was W. B. Donham, former dean of the Graduate School of Business Administration at Harvard. As a result of over twenty years experience he concluded that case study develops essential habits, skills, and capacity to form judgments on diverse factual situations in addition to markedly stimulating the student's interest in the educational process.[9] As a collateral result, he noted that "a far larger percentage of

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[8] Robert Dubin, Human Relations in Administration (New York: Prentice-Hall, Inc., 1951), p. 385.

[9] Wallace B. Donham, Education for Responsible Living (Cambridge: Harvard University Press, 1945), p. 262.

[illegible] in the reading of human relations. This has vacillated from his experiences in the war of which that is [illegible] an [illegible] basis for analysis of [illegible] and in [illegible] of the behavior that we call [illegible] [illegible]. In fact that level analysis of [illegible] [illegible] one a [illegible] [illegible] [illegible]

men who use the case method are not merely acceptable but good teachers than is true of men who use the lecture method or the quiz system."[10] As a result of additional experiments after he had given up his position as dean and returned to full-time teaching at Harvard and Radcliffe he arrived at the following conclusion concerning the possibilities of vicarious learning inherent in the study of cases:

> We have learned how to expand the student's experience, into orientations with which he is not and cannot be directly familiar while the educational process is going on, effectively enough so that he can use this expanded experience as the basis for generalizations much as does a skillful man of affairs when he interprets his expanding experience in life.[11]

Another teaching experience from the field of human relations in business which offers valuable conclusions is that of Karl Boedecker at Michigan State College. He has concluded that:

> Students who come away from case courses with an .... appreciation of the problems of human relations have truly begun to mature. It is extremely doubtful that this kind of maturity can be told. It must be experienced from personal contacts with real situations. Cases tend to provide that reality short of actual contact.

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10 Ibid., p. 270.

11 Wallace B. Donham, "Why Experiment? Case System in College Teaching of Social Science," Journal of General Education, Vol. 3, January 1949, p. 147.

> The understanding that there is no certainty which leads to absolute security, and that man's problem is to handle insecurity, is the mark of a mature person. Immature persons worry and fret about insecurity. Mature persons learn to live with it.[12]

Case Method in Business

The most widespread use of the case technique in the practical world of affairs has been in the field of business, in connection with the development of supervisors and executives. To date, the actual use of cases in a prolonged formal training program has been limited. However, there have been enough experiments of sufficient scope to have produced definite opinions as to the value of a case approach as applied to this type of training; a few of these will be summarized later in this chapter. In addition, this study has found that there is very positive evidence to indicate that the use of the case method will spread rapidly in the business world within the next few years.

Many companies have come to the realization in the last few years that it is just as necessary to develop the executive talents of middle and top management as it is to train the skills of workers and foremen.[13] Planty and Efferson

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[12] Karl A. Boedecker, "The Case Method of Instruction," Collegiate News and Views, Vol. V, Number 3, March, 1952, p. 6. See Appendix B also for a discussion of values of case discussion.

[13] "Bringing Up the Boss," Fortune, June 1951, p. 118.

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feel that "like measured work loads, statistical controls, and market research, executive development will inevitably mature, make its contribution to the success of business, and become indispensable."[14] This has come about as a result of the realization that "the average executive spends so much time analyzing upward that he has little time left to do the same in the other direction ... people know the boss isn't logical -- but when they look at those below, they tend to interpret their behavior in terms of logical cause and effect -- emotion and sentiment being mere aberrations."[15] "The new approach this calls for ... resolves itself into training in how to look downward into the organization instead of always up -- how, in short, to get the boss to participate."[16] As a result of a recent survey of executive development programs throughout the country, Mace made a similar conclusion:

> Another reason why men will not acquire naturally the skills and capacities for leadership is that as companies have grown and become more complex, responsibilities within the organization have become more and more specialized. This

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[14] Earl G. Planty and Carlos Efferson, "Developing Leadership for Tomorrow's Tasks," Dun's Review, January 1952, p. 16.

[15] "Problem for the Front Office," Fortune, May, 1951, p. 81.

[16] Ibid., p. 156.

> functional specialization has tended to limit the points of view of potential executives and to confine them to very narrow functions ... increased technical capacity has been achieved at the price of sacrificing education in the skills involved in dealing with people.[17]

Metcalf stated over twenty years ago that "the principle aim of executive development should be developing skill, understanding, and attitude, not stuffing men with factual information."[18] One year later, Dennison pointed the way toward the use of cases in executive training when he defined the goal of such training as follows:

> Since future problems can only be partially foreseen, the wisest education for them will consist of practice in analyzing and solving a variety of problems. Such education should not attempt to stock a complete mental warehouse from which ready-made solutions can be drawn as needed, but should rather try to equip and train a resourceful mental producing department.[19]

Peterson and Plowman emphasized the growing importance of social problems in the business man's world in the following discussion:

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17 Myles L. Mace, The Growth and Development of Executives (Boston: The Andover Press, Ltd., 1950), p. 10.

18 Henry C. Metcalf, Business Leadership (New York & London: I. Pitman & Sons, 1930), p. 232.

19 Henry Dennison, Organization Engineering (New York & London: McGraw-Hill Book Co., 1931), p. 120.

> Business problems are essentially social problems, the solution of which does not lend itself to the application of natural laws in the sense that such laws apply to the problems of mathematics and physics. Though the span of knowledge may broaden for a person with the passing years, the problems which properly come within the purview of management increase in scope and number faster than the pace of the mental growth of any one individual.[20]

Within the last two years the spotlight has been even more clearly focused on the need for emphasis upon training the executive in the science of human relations. Nelson expressed the trend in 1950 as follows:

> Today the objectives (of training) include the changing of attitudes and viewpoints, giving an understanding of our economic system, building of better citizens, and developing of loyalties.
>
> Executives tackle common problems as a cooperative group instead of spending time and energy defending their own departments against the others.[21]

Finally, Andrews expressed the purpose of an executive development program, as he conceived it in 1951, to be:

> 1. Avoid the boredom, futility, and waste of training programs that ignore the attitudes, feelings, and experience of those being trained.

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[20] Elmore Peterson and E. G. Plowman, Business Organization and Management (Chicago: Richard D. Irvin, Inc., 1942), p. 105.

[21] Thomas H. Nelson, "How Training Can Help Management," The Conference Board Management Record, Vol. 12, Number 1, January, 1950, p. 8.

2. To enable the participants to learn (from reflection upon their own experience) how to approach more effectively than before the human problems of administration in their own organizations.[22]

Executive development programs which have been developed have employed a large number of different techniques -- such as job-rotation, multiple management, understudy, role-playing, formal college courses, and case study.[23] In August, 1950, the National Industrial Conference Board reported that advanced management courses were available at Harvard, Pittsburgh, Stanford, and Massachusetts Institute of Technology.[24] Since that time a few additional universities have started similar programs and the case method of teaching is employed in most of them. The graduates of these courses returning to their own companies are in many cases spearheading the growth of a case method development program within the company organization.

Ingleheart has recently summarized the requisites of a good executive development program; for the most part these

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[22] Kenneth R. Andrews, "Executive Training by the Case Method," Harvard Business Review, Vol. 29, Number 5, September 1951, p. 58.

[23] See Appendices C through J for examples of the current use of different executive development techniques.

[24] National Industrial Conference Board Report Number 107, August, 1950.

seem applicable to a military setting also:

> 1. Important, intensive, and practical -- not classroom stuff
> 2. Long enough to cover a great deal of ground but short enough not to fall apart in the middle
> 3. Conducted in proper setting -- preferably away from company offices
> 4. Good time-organization and leadership
> 5. Faculty of outside men with practical experience[25]

Many authorities have concluded that the case technique satisfies the objectives of an executive development program and that it can be readily designed to provide the requisite elements. This study has found no instance in which the case approach was not enthusiastically received by the participants; in most cases it seems to have stimulated continued case discussion long after the training session was over. This seems to offer substantial proof that the attitudes, feelings, and experience of those being trained is not ignored, and that, consequently, very little if any boredom results. In regard to whether such training enables one to approach the human problems of administration more effectively, Reining concluded that:

> It is precisely in the case approach that the supervisor learns to become worker-centered

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[25] Austin S. Ingleheart, "How General Foods Gives Management Training to Top Executives," Sales Management, Vol. 57, No. 2, July 18, 1946, p. 38.

in his attention, to respect the variables, especially the human aspects, and to make decisions which are based on reason as well as on rule.

The case method is also an excellent technique for executive development and training. It is difficult to conceive how the high-level arts of administration can be learned except from the experience of others.[26]

Planty and Efferson also note that "the case study method reduces the over-confidence of dogmatic participants by submitting their ideas to challenging thoughtful criticism by their equals," but they also warn that "under the pressures of heavy work-loads, conflicting personalities, and loyalty to old methods, brilliant classroom analysts may fail in practical application."[27]

To summarize the value of the case method as a means of training executives, the attitude expressed in Mee's Personnel Handbook appears appropriate:

> The most significant value of the case study method is the fact that during the interchange of opinion, individuals express ideas and attitudes about the facts of the case and the issues of the case which are challenged and analyzed by others. Each person reacts to the ideas expressed by other supervisors and administrators with different backgrounds, different functions, and different viewpoints. The method helps the conferees to sharpen and broaden their understanding and judgments and

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[26] Henry Reining, Jr., "Case Method and Public Personnel Administration," Public Personnel Review, Vol. 12, July 1951, p. 155.

[27] Earl G. Planty and Carlos Efferson, "Developing Leadership for Tomorrow's Tasks, Dun's Review, February 1952, p. 74.

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to become aware of their own prejudices and attitudes in administrative practice.[28]

An example of how the case method has been effectively utilized in training executives outside of the schoolroom was reported in the January 6, 1951 issue of Business Week magazine. The report was a description of an after-dinner series of case conferences conducted in Racine, Wisconsin, by professors Richard Donham and Leon Bosch of Northwestern University for a voluntary gathering of business men from many companies in the area and from all levels of management. The methodology was quite similar to that used in the university courses, except that the participants did not have to be absent from their jobs during the program.[29]

Reference has already been made to a survey of executive development programs recently completed by Mace. It is interesting to note that he concluded that positive gains had resulted from the use of the case method despite the fact that no actual measurement of such gains was possible. His comment was:

> The results of such programs, because they are concerned with attitude, are not measurable.

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[28] John F. Mee, editor, Personnel Handbook (New York: The Ronald Press Co., 1951), p. 1007.

[29] "Teaching Executives to Think," Business Week, January 6, 1951, p. 80.

Participants do not come away from the meetings with any discernible changes or with any objective evidences of growth. The changes, however, do occur; they are deep-seated and profound from an administrative point of view. Most men who have participated in such a program have gained real insight into the administrative process, and while they probably could not describe the specific benefits exactly, their performance on the job later as executives has demonstrated the administrative value of case discussions.[30]

Furthermore, Mace presented six generalizations on the use of the case technique which offer a very valuable checklist for satisfying the requisite elements in future program planning. Excerpts from those generalizations are as follows:

1. The conference leader plays an important role, not in directing the nature of the discussion, but in encouraging full freedom of participation ... he must pose challenging questions but should never attempt to provide an answer ... his function is to help members of the group to learn but he should not be "a teacher who tells or lectures." The real contribution of this type of conference discussion consists of providing the environment within which each member learns for himself ... the leader must also stay out of discussion except as the occasion necessitates keeping the meeting from degenerating into a bull session.

2. A conference program should start with the top members of management ... the president by his participation in the program and enthusiastic sponsorship sets the tone of acceptance by the rest of the organization.

3. Members of the group should be from same organization level. Superiors and subordinates should not be in same conference group ... full

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[30] Mace, op. cit., p. 171.

discussion did not result. The learning value of case conference to strengthen the administrative abilities of people depends on full discussion and participation by the members.

4. The conferences should be arranged as to both time and place so that members will not be interrupted by the demands of operations .. telephone calls and personal calls should not be permitted.

5. Avoid reference to "training" or "school" because of adult resentment toward classroom routine, -- use "Management Conference," "Conference on Administration," etc.

6. It should not be a one-shot attempt ... maybe twelve weekly meetings twice a year ... no proven standard as yet.[31]

A final requisite of a case teaching program which should be mentioned is the need for good conference leadership and an understanding of the essence of good discussion methods by all members of the group. It has been pointed out earlier in this study that the success of a case study program will depend, to a large extent, upon the caliber of case-conference leadership displayed by the leader. His effectiveness will naturally be enhanced greatly if the participants also have a good understanding of the proper role of each element of the discussion program. Consequently, one of the first steps which should be taken in setting up a case program is the education of the group, and in particular the leader thereof, in the essentials of good dis-

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[31] Ibid., p. 170.

cussion tactics. An excellent pamphlet which provides the type of information regarding discussion procedures that would be applicable to a case study program is, How to Lead Discussion, by LeRoy C. Bowman. A few of the key points from that pamphlet are excerpted below:

> 1. The group may by a longer but more interesting, educative and profitable method take up a matter in which all are interested, get facts, have opinions expressed, and gradually come to a place where action can be decided upon that everyone has had a real part in shaping ... however, there is not time for a group to indulge in long discussion if it needs to act on any matter quickly.
>
> 2. The leader's job is to learn the chief interests of members, if possible before discussions; to start discussions; to keep them going; to be ready to repeat main points of the issues as discussed; to turn the discussion one way or another. He starts things, keeps them going, and winds them up, but does not do them.
>
> 3. The leader must see that informality is the rule in every meeting but that it is a pleasant incidental in the conduct of discussion and not an excuse for lack of purpose in the talking.
>
> 4. Responsibility for everything that is done should be put on the group, as far as time and circumstances permit, and the members should learn that they as a group are doing whatever is done ... Not only is the group responsible for conclusions, but increasingly, as the members learn the discussion method, they become responsible for the way in which the meetings are conducted.
>
> 5. Questions that ask "why" are excellent, since they get back to causes and reasons. Questions that ask when anything is true are excellent. Questions that ask (in slang terms), "Says who?"

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are also good if they imply (politely, it is to be hoped) that there is difference of opinion, and get at the issues that may underlie those differences.

6. Everyone should participate in the discussion ... It is a good thing for those who ordinarily talk a great deal to remain quiet occasionally. The greatest lesson for the members of the group to learn is to speak only when they have something to say that will further the discussion.

7. When the discussion has centered around one topic long enough or agreement has been reached, or there seems to be a tendency to go off on another track, the leader should try to show the group how far they have come in discussion and to lead toward the next logical step.

8. Group discussion should not attempt to solve problems or come to hard and fast answers to questions. The job of the group is to analyze.

9. The summary is used in the first discussions for the purpose of showing agreement and securing unity. Later it may well be used to emphasize the fact that perfect agreement never is reached and is quite undesirable and that questions are never settled.

10. A high ideal for any discussion group is to help its members so to understand themselves that a happier emotional tone is established in the group and they themselves become, if need be, better balanced emotionally.[32]

Specific examples of the use of the case method for supervisor or executive development in business will now be cited:

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[32] Leroy C. Bowman, How to Lead Discussion (New York: The Woman's Press, 1934).

Armstrong Cork Company

Armstrong Cork Company appears to have been one of the pioneers in the use of the case method, having introduced it in 1938. To date, its use has been limited to the training of supervisors, but an experimental program is nearing completion which is expected to lead to the use of cases in an executive development program. Tentative plans call for holding the training sessions at a company-owned lodge near the main office location. Selected executives will be brought in from the field once a year, or every two years, to be brought up-to-date on company policies and to be given the opportunity for individual development through a short case discussion program.[33]

E. I. du Pont de Nemours and Company

DuPont Company has not, as yet, actually used the case method in a continuing formal group training program. They have, however, conducted an experimental case program for members of the upper levels of management, and they currently employ a case approach in their manual, Supervisory Problems, used to train new supervisors by the coach-and-pupil method.

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[33] From a personal interview with Mr. T. G. Newton, Training Director, Armstrong Cork Company. See Appendix C and Appendix D for discussion of this program.

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In the experimental case program, selected executives met for about two hours in the middle of the morning for case discussions, under the leadership of Professor Ralph M. Hower of Harvard University. Although no formal evaluation was attempted, the training staff felt convinced that positive results had been achieved in many cases. One of the most striking changes noticed was the realization on the part of a few very dogmatic executives that there really is more than one way to handle most human relations problems, and that their solution was not always acceptable to the majority of the group as the best answer. Serious consideration is being given to further use of the case technique in executive development at DuPont.[34]

The training manual for new supervisors contains write-ups of fifty-five situations that are representative of the kinds of problems which a new foreman is likely to encounter during the early months of his supervisory experience. Most of them are real situations experienced by DuPont foremen; some are human relations problems, some involve policy questions, and others are concerned with the paperwork or procedure phase of the job. They center around the day-to-day

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[34] From a personal interview with Dr. W. R. G. Bender, Manager, Personnel Research Section, E. I. du Pont de Nemours and Company. See also Appendix E.

activities of a fictitious foreman and his crew of twelve men. Character sketches of the men are provided to add a more realistic tone to the study of the situations. The pattern of each problem is about the same -- the problem is stated and followed by a series of possible actions. During the informal discussion, the supervisor poses the problem to the new foreman and then gets him to think through the advantages and disadvantages of all of the possible actions. There is no answer book for the manual, since it is generally agreed that good management cannot be reduced to simple rules of action.

One of the most obvious results noted from this use of the case problem approach is that after discussing problems with his immediate superior the new foreman is not afraid to go to that supervisor for help. Before the problems manual was introduced most new foremen were reluctant to go to the boss for help, for fear that the boss might get the impression that he was not capable of handling the job.[35]

Johnson and Johnson Company

Johnson and Johnson and its affiliates have used the case approach in connection with the training of at least five different groups of executives and have found it to be

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[35] Excerpted from DuPont Company's manual Supervisory Problems.

realization of a traditional foreman and his power or treatment. Observation workers of the man are provided to add a more realistic base to the study of the situations. The pattern of each problem is about the same -- the problem is stated and followed by a series of possible solutions. During the informal discussion, the supervisor gives the problem to the new foreman and then gets him to think through the advantages and disadvantages of all of the possible solutions. There is no answer book for the manual, since it is generally agreed that good management cannot be reduced to simple rules of thumb.

One of the most serious results noted from this use of the case problem approach is that after discussing problems with his immediate superior the new foreman is not afraid to go to that superior for help. Before the problems manual was introduced most new foremen were reluctant to go to the boss for help, for fear that the boss might get the impression that he was not capable of handling the job.[25]

Roethlisberger and Dickson Company

Roethlisberger and Dickson at the Hawthorne Works used the case approach in connection with the training of at least five different groups of executives and have found it to be

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[25] Acquired from Eastern Company's manual Supervisory Problems.

a valuable technique. Reference has already been made to published comments concerning values and limitations of the case method, as noted by Planty and Efferson at Johnson and Johnson.[36]

Westinghouse Electric Corporation

Westinghouse has just recently inaugurated a formal management development program, but at this writing it remains in the planning stage. It is pertinent to note, however, that plans are being made to employ the case approach when the training program is formulated.[37]

Kroger Company

Kroger Company is currently employing a type of case approach in training at two different executive levels. As will be noted from the description of this program in Appendix H, it combines evaluation with training and uses a role-playing procedure prior to case discussion.[38]

Detroit Edison Company

A case approach is used for both executive and supervisor training at Detroit Edison Company. At the executive level a conference type of problem-solving is employed;

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[36] See footnote 27 of this chapter. Also see Appendix F.

[37] See Appendix G.

[38] See Appendix H.

a variation [illegible]. [illegible] are already [illegible] [illegible] to [illegible] [illegible]. [illegible] [illegible] and limitations of [illegible] [illegible], [illegible] [illegible] [illegible]

whereas, at the supervisor level, actual case studies are discussed, utilizing Armstrong Cork - McGraw Hill strip film cases. It is to be noted that they have concluded that actual current problems provide the best topics for discussion.[39]

Carnegie - Illinois Steel Company

The case method is not used in the formal executive development program at Carnegie-Illinois Steel Company at present, but it has been used previously, is used informally now, and is considered to have merit.[40]

Case Method in the Military

It has been noted earlier that a case-problem method of leadership instruction has been used in at least two publications on naval leadership published in the past ten years. The Manual for Practical Development of Leadership Qualities (1944) was written primarily for instructors of leadership courses in officer training schools. It stated that the leadership problem should be the basis for much of leadership instruction, and it provided a chapter on the use of the problem method. It was, however, a very brief pamphlet

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39 See Appendix I.

40 See Appendix J.

[illegible]

[illegible]

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produced under emergency conditions, and it did not refer to the case method as defined in this study.

Naval Leadership, published at the Naval Academy in 1949, is a much more complete treatment of the subject and includes three major subdivisions: Psychological Principles, Precept and Example, and Case Studies. Emphasis is upon principles and techniques presented in a textbook fashion, with only a very brief discussion of the use of the scientific process of problem-solving and the methodology of leadership instruction. It does include, however, forty-nine case write-ups depicting various explicit situations requiring decisions by a superior in a military organization.

A definite use of the case technique has been made within the last two years in connection with the training of reserve officers in the Organized and Volunteer programs. A series of twelve cases, titled "Functions of the Naval Administrator," was produced under contract by Harbridge House, Inc., of Cambridge, Massachusetts. These were printed in three sections: a case write-up, an instructor's guide, and a script. In addition, a transcription of the verbal portions of the case, together with procedural instructions, accompanies each case. These cases are used without advance preparation by the members of the group to provide the sub-

[illegible] under contrary conditions, and is did not refer to the word "[illegible]" in this study.

Metal [illegible]. Written as the Naval Academy in 1893, is a much more complete treatment of the subject and includes three major divisions: mechanical principles, [illegible] and [illegible], and [illegible]. Expressed in open principles and mechanics presented in a concrete fashion, with only a very minor discussion of the use of the mechanical process of problem-solving and the methodology of [illegible] [illegible]. It was [illegible], however, [illegible] [illegible] [illegible]

stantive matter for discussion sessions during naval reserve unit drills. One member of the unit acts as discussion leader. In most cases he has had no special training for the job of leader other than the suggestions provided in the instructor's guide.

Comments from the Commandants of all naval districts which have used the case series in instructing reserve officers in the aspects of naval administrative procedure have been unanimous in acceptance and praise of the technique, and all have requested an extension of the program.[41] A second series of cases, these on naval leadership, is currently being prepared under navy contract.

Another case program for the study of administrative methods in the navy has been developed within the organization of the Executive Office of the Secretary. The program was instigated as a means of teaching civilian internes within the Navy Department. It has as its primary aim the development, in the trainee, of an awareness of administrative problems or situations, which can be "relived" with profit to the office, the agency, and the government. The trainees

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[41] See Appendix K for an appraisal of the case series, "Functions of the Naval Administrator" by a naval reserve unit of educational specialist officers.

[illegible] [illegible] [illegible] [

themselves are required to prepare narrative histories of problems which they encounter or hear of from others, to analyze the problems in a written report, and to submit the entire case to the group leader for subsequent group discussion. This program has been well received by the junior management group of the Navy Department, and those responsible for the training feel that it has been very effective.[42]

A final example of the use of the case approach within the navy is a training film which has just been completed for viewing by all officers and officer candidates. The movie has not been supplied to all training aids libraries as yet, but it is expected that it will bear the title: "The Cruise of U. S. S. Farragut." It will consist of a composite case history of a few days in the life of a destroyer crew, depicting the many human relations problems which arise. The script was prepared with the aid of faculty members from Harvard University and all incidents are authentic, although all did not occur exactly in the sequence shown in the movie.

One additional application of the case technique to teaching in a military unit is a course in Executive Development being given at the Industrial War College in Washington,

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[42] Excerpted from information supplied by the Executive Office of the Secretary of the Navy.

D. C. This course was originated by an army officer graduate of the Harvard Advanced Management course and follows the Harvard approach quite closely.

Summary

From an introduction at the Harvard Law School in 1871, the case method of teaching has spread throughout the United States and into almost every field of instruction. Although no statistical evidence can be cited which would actually prove that the case approach is more effective than any other teaching method, many educators have noted results from its use which were very gratifying and which seemed to indicate that real learning had occurred. Among the most important results noted were:

1. Change in attitude toward others
2. Increased understanding of self
3. Greater power of reasoning, discrimination, and judgment
4. More effective leadership and more intelligent followership
5. Reduction of cock-sure and premature generalizations
6. Increased maturity from learning to live with inevitable insecurity

3. This course was designed as an army civilian graduate of the Western Cowboy Veterinary course and follows the journal articles quite closely.

Results

Upon an inspection of the Western Law School in 1971, the case method of teaching the social sciences was United States and in other fields of instruction. Although no statistical evidence is in fact which would actually prove that the case method is more effective than any other teaching method. Many educators have noted results that the skills were very strongly and which seemed to indicate that their students were encouraged. Among the more important results noted were:

1. Desire to attended school improve
2. Increased interest in reading on part
   Common sense of reasoning, differentiation, and
   analysis
3. More effective participation and more intelligent
   follow-ups
4. Recognition of complexity and problems generalization
   issues
5. Realization students have learned to live with dis-
   and with incomplete

In the business world, a marked increase in interest in executive development programs has occurred in the past few years. The general aim of such a program is to develop skill, understanding and a broadened attitude, rather than the accumulation of facts. More and more the importance of social problems has been recognized, and as a result, the development of skill in the science of human relations has become a primary aim. The actual program desired is one which minimizes boredom by stimulating reflection on one's own experiences and the experiences of one's associates as a means of learning to handle the human problems of organization more effectively.

There have been more than fifteen different executive development methods produced, of which the case method has become one of the most popular. Many top management members who have completed a case program of advanced management training at a university have been instrumental in initiating a similar system of development within their company after their return. To be most effective, it has been found that the training program should be as practical as possible, should be conducted off the company grounds, must have good time-organization and leadership, and may need the guidance of a professional consultant.

In pragmatic usage the case approach has been found to be very satisfactory as a means of training executives. It is outstanding in its ability to hold the attention of the participants; it helps the executive make decisions based on reason rather than emotion and rule alone; and it tends to reduce the over-confidence of dogmatic executives through the development of insight. Case studies are not effective in all instances, however, and even when there is definite progress noted among participants in the course of discussion and decision-making, there is no assurance that there will be a carry-over to practical application.

Mace has noted positive gains from the use of case programs in industry and has provided a valuable list of generalizations resulting from his recent survey of executive development programs in this country. One of the most important requisites for success in such a program is a working knowledge by both the group leader and the group members of the essentials of good group discussion tactics.

Specific instances of the use of the case method in industry and in the military indicate that many versions of the technique have been devised and that the basic concepts underlying them appear to be sound.

CHAPTER VI

A RECOMMENDED CASE METHOD LEADERSHIP DEVELOPMENT PROGRAM FOR NAVAL OFFICERS

Introduction

The nature of leadership, the nature of learning and leadership development, the theory and characteristics of the case method of instruction, and the uses and results of the technique in the fields of education, business, and the military have been reviewed. In this chapter a formal program for development of leadership among naval officers, through use of the case method, will be proposed.

Need for a Leadership Development Program

Munson has said that the true purpose of training in a military organization is to prepare for a rapid and efficient adjustment to any new situation of war.[1] "Wars are fought by armies, but armies are composed of individuals who have personalities that respond differently to the same situation and require dissimilar handling to secure maximum efficiency from each one."[2]

This recalls once again a postulate which has been

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[1] Edward L. Munson, Leadership for American Army Leaders (Washington: The Infantry Journal, 1941), p. 74.

[2] Norman C. Meier, Military Psychology (New York & London: Harper & Bros., 1943), p. 283.

CHAPTER VI

A [illegible] OF [illegible] FOR [illegible] ATTRIBUTES WORTHY OF NAVAL OFFICERS

Introduction

[illegible] of [illegible], the nature of learning and learning's development, the [illegible] and characterization of the [illegible] of instruction, and the [illegible] and training of the [illegible] in the field of [illegible], business, and the military have been [illegible]. In this chapter a formal [illegible] of [illegible] among naval officers, [illegible] [illegible] [illegible].

Need for [illegible] Attributes Studies

[illegible] [illegible] [illegible] learning in a military [illegible] [illegible] [illegible] and effective [illegible] [illegible] [illegible].[1] There are [illegible] of [illegible] [illegible] [illegible] of individuals [illegible] [illegible] [illegible] [illegible] to the same [illegible] [illegible] [illegible] [illegible]

noted earlier in this study: that the task of the leader, and particularly the military leader, is to a very great extent the controlling of the interactions of subordinates so as to obtain the maximum productiveness from each toward the objective at hand. Merton has pointed out that the bureaucracy which is demanded by the regulatory nature of a military organization tends to nullify the very attitude which seems to call forth the greatest efforts from those subordinates. His reasoning was expressed in the following sequence:

> 1. An effective bureaucracy demands reliability of response and strict devotion to regulations.
> 2. Such devotion to the rules leads to their transformation into absolutes; they are no longer conceived as relative to a given set of purposes.
> 3. This interferes with ready adaptation under special conditions not clearly envisaged by those who drew up the general rules.
> 4. Thus, the very elements which conduce toward efficiency in general produce inefficiency in specific instances.[3]

The effect of this bureaucratic influence upon the individual officer seems to be a tendency toward closed-mindedness and methodization which results in the denial of spontaneous contributions on the part of subordinates. Munson expressed the danger of this tendency as follows:

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[3] Robert K. Merton, "Bureaucratic Structure and Personality," Social Forces, Vol. 18, 1940, p. 564.

[illegible] in this study that the task of the leader, and particularly the military leader, is to a very great extent the coordination of the interactions of subordinates so as to obtain the maximum productiveness from those towards the objective at hand. Merton has pointed out that the bureaucracy which is dominated by the regulatory nature of a military organization tends to nullify the very attitude which seems to call forth the gracious efforts from those subordinates. His reasoning was expressed in the following sequence:

> 1. An effective bureaucracy demands reliability of responses and strict adhesion to regulations.
> 2. The measures to this end lead to rigid emotional habits and attitudes; they are no longer considered as relatives to a given end of purposes.
> 3. This interference with ready adaptation becomes specially apparent and strongly emphasized by those who deal on the general public.
> 4. Thus, the very elements which induce trained efficiency in general produce inflexibility in specific situations.[1]

Merton's [illegible] on this bureaucratic influence upon the individual officer serve as an introductory issue [illegible] [illegible] with [illegible] in the social [illegible] [illegible] of administration.

Bruner summarizes the danger of this bureaucracy as follows:

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1. Robert K. Merton, "Bureaucratic Structure and Personality," Social Forces, Vol. 18, (1940), p. 560.

> The leader who smothers initiative within his unit through distrust of the abilities of his subordinates ... is denying to those under him what is perhaps the chief tradition of American troops in battle, the tradition of estimating the situation with speed and acting accordingly whether or not there are orders from higher authorities to cover the situation ...
>
> In the final analysis, leaders and the troops they lead must above all things have constant practice in the development of initiative so that when the unexpected happens, as it is always doing in war, they will be used to the idea of having to sum things up and having to act with the utmost speed.[4]

The type of problem-solving ability which the military life demands has been spoken of as "totalistic intelligence" -- certainly an ability which the bureaucratic attitude discussed above would not encourage. Meier expressed the need for this type of intelligence as follows:

> Actual military problems, however, usually demand a special form of intelligence which may be characterized as the ability to grasp a complex situation in its entirety, without losing sight of any secondary factors which may affect it ("Totalistic intelligence") ... There is no place in such situations for particularistic minds, or for the thorough individual with limited vision, or for the person who is easily fatigued. Totalistic intelligence provides the constant grasp of a complex and changing problem and demands unrelenting application of a detached, constantly vigilant nature, readily susceptible to any change but always ready to decide quickly if the new development is one that has significance for the main goal.

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[4] Munson, op. cit., p. 32.

The leader who sometimes individuals within his unit through clearness of the qualities of his subordinates ... is drawing to those under his what is perhaps the other condition of affection known in history, the condition of soldiers for the situation with about and acting accordingly whether or not there are orders from higher authorities to cover the situation ...

In the final analysis, leaders can the troops they lead must above all things have confidence in the development of initiative so that when the unexpected happens, as it is always going to, the troops will be ready to use less of leaders to give orders up and behave in ways with the enemy's wishes.[1]

The type of problem-solving ability which the military life demands is far more akin to the "practical intelligence" -- especially in ability which has immediate activity disassociated above mere skill and knowledge. Tests constructed for measuring this same type of intelligence as follows:

Some military problems, however, usually demand a special form of intelligence which may be characterized as the ability to grasp a complex situation in its entirety, without having light on any separate aspects which may exist in ("practical intelligence") ... Thus, to solve an order in military life, one must frequently think not for the immediate activity, but for the overall situation, or in terms of a single, clear, and simple "purpose". Considerable intelligence may be required to grasp or a single purpose, and then to carry out the orders corresponding to the purpose of a commanding officer. Usually subordinate to any change are given only in detail (usually if, and then are statements of the fact that substitutes for the right ...

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[1] Op. cit. pp. 24.

> It is therefore not unreasonable to expect that no military organization can afford to exclude the possibility that good military minds may be uncovered in little-suspected places and that provision should be made for their detection.[5]

What has the United States Navy done, and what is currently being done to allow and encourage the development of a "totalistic intelligence" among officers? The formal program of education of an officer, as officially prescribed, is indeed a broad and erudite plan which extends considerably beyond the basic baccalaureate level of college. It includes a required general post-graduate course which will eventually apply to all unrestricted line officers, and it provides opportunity for specialized training at the Navy Post Graduate School or at certain civilian institutions. In addition, there are standing orders in many echelons of the operating forces which require extensive notebook preparation on numerous technical subjects by all junior officers.

But what program exists to develop the leadership potential of naval officers after they have completed their college training and joined active units of the organization? The teaching of leadership through unplanned individual understudy and guidance and the planned procedure of

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[5] Meier, op. cit., p. 208.

> It is therefore not unreasonable to expect that no military organization can afford to ignore the possibility that good military minds may be uncovered in little-suspected places and that provision should be made for their development.

What has the United States Navy done, and what is currently being done to plan and encourage the development of a "realistic intelligence" among officers? The formal program of education of an officer, as officially prescribed, is indeed a broad and sensible plan which extends considerably beyond the mere baccalaureate level of college. It includes a carefully prepared post-graduate course which will eventually apply to all necessitated line officers, and it provides opportunity for specialized training at the Navy Post Graduate School or at certain civilian institutions. In addition, there are standing orders in many subjects of the correspondence courses which require extensive notebook preparation on numerous technical subjects by all junior officers.

But most programs exists to develop the immediately practical or tangible objectives after they have completed their courses. The junior active units of the organization, be it [illegible] or laboratory, therefore [illegible] [illegible] [illegible] the future [illegible].

[illegible] op. cit., p. [illegible].

job-rotation have been alluded to in the early pages of this thesis. Rather extensive search into the matter has failed to uncover any other method of leadership development in broad usage within the naval establishment. There appears to be no expressed official policy in the navy concerning methods of leadership training for officers. In view of the acknowledged importance of dynamic leadership in the performance of duty of an officer, there is definite justification for the formulation of an explicit policy for the planned, organized development of leadership among all officers and the immediate implementation of such a policy by means of a formal navy-wide program. It is pertinent to note that at the present time there are more than twenty research projects being conducted in the area of leadership and human resources under naval research contracts, yet not one of these is currently studying the practical process of leadership development.[6]

It was pointed out under the discussion of leadership development in chapter III that the problems faced in the development of executives in industry are in many respects synonymous with those faced by the military services in the development of officers along non-technical lines.

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[6] From a personal interview with Dr. Joan Crisswell, Office of Naval Research, Human Resources Division, Washington, D. C.

[illegible]

From the review of uses which have been made of the case method in business and in the navy, it has been noted that some uses in business circles have been markedly similar to the use made of the technique in the naval reserve training program. It is logical to assume, therefore, that much of what has been said concerning the objectives and the requisite elements of an executive development program can be meaningfully applied in formulating a leadership development plan for naval officers.

Objectives and Elements of Proposed Plan

From the foregoing study of the nature of leadership and the process of learning as it would operate in the development of leadership, it appears that a program for development of naval officers should have as its aim the growth of insight and ability to understand and solve problems in human relations. This calls for the development of a "totalistic intelligence" that would give rise to a military mind which could employ bureaucratic and institutional methods for the accomplishment of those tasks which demand the regulatory character of such methodology, yet, at the same time be the type of mind which could maintain the degree of plasticity necessary to assure keen insight into the multitudinous influences which affect the responsiveness of

From the series of uses which have been made of the case method in business and in the navy, it has been noted that more uses in business circles have been seriously similar to the use made of the technique in the naval reserve training program. It is logical to assume, therefore, that much of what has been said concerning the objectives and the regulative elements of an executive development program can be meaningfully applied to formulating a leadership development plan for naval officers.

Objectives and Elements of Development Plan

From the foregoing study of the nature of leadership and the process of learning as it would operate in the development of leadership, it appears that a program for development of naval officers should have as its aim the growth of leaders who possess ability to understand and solve problems in human relations. This calls for the development of a "potential leadership" that would give them an intelligent mind when which deals with interpersonal and institutional problems for the accomplishment of those ends which serve the qualitative purposes of human existence, yet at the same time be the type of mind which would maintain the spirit of intellectual modesty to assure open inquiry and multilateral conference which critical the pragmatic

men. Insight such as this would be characterized by an attitude which would encourage active participation at all levels in the day-to-day problem-solving process, to the end that the best possible solution to each problem be produced, yet which would sanction no diminution of the acceptance of the right of authority vested in military command.

For naval officers, a training program must be practical to be successful, for they, like busy executives, must answer today's problems today rather than dwell upon the theory involved. The leadership development program which this thesis recommends is a case study program conducted within each local command organization with maximum emphasis upon the practical aspects of problems similar to those being faced daily by each particular group. An outline of the key points of such a program is given in Appendix L; those key points will be discussed briefly in the remainder of this chapter.

Before the case program can be formulated, certain criteria must be agreed upon which will assist in the ultimate determination of whether participation in such a program has produced desired results. In other words, there must be a delineation of how an acceptable leader at each

[illegible] Judging from so little would be characterized by in-
clude which would advantage achieve participation on all
levels in the all-out [illegible] problem-solving process. In one
can view the case in which solution of such problems be
produced yet again. only specific to diminution of the in-
correctness of the right of military review in military com-
mand.

[illegible] military program were by practic-
al or [illegible] [illegible] [illegible] [illegible] [illegible]
[illegible]

echelon and in each branch of the navy actually performs. Unfortunately, the present state of knowledge and agreement on this question is so limited that the formulation of concrete criteria is not possible. From a review of the list of current research topics, plus a brief investigation at the Bureau of Naval Personnel, the author has been unable to find evidence to indicate that a thorough job description and analysis at the officer level has ever been accomplished, or is at present contemplated. Nevertheless, it has already been noted that a great deal of continuing research is being sponsored by the navy in the field of leadership, and it is to be hoped that meaningful results will be accelerated. If, through some form of factor analysis, naval leaders could be divided into the minimum number of types which would adequately define the needs of the service, and if these separate composite types could be described in concrete terms which would provide a sound basis for establishing criteria for leadership training, then the problem of developing an effective program for such training would be greatly simplified.

The lack of truly objective criteria for use in formulating a development program should not, however, discourage the effort to do the best possible job with the know-

[illegible]

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ledge at hand. As progress is made in the areas of basic and applied research, the findings can and should be continuously integrated into the structure of the development procedure then in existence. The immediate task is to establish the most objective leadership criteria which can be agreed upon and to proceed to formulate the training program with these criteria as a goal.

The first major element of a case program which would have to be developed is the casebook itself. This manual should consist of three sections: a naval leadership "text" section, a case methodology section, and a section providing selected cases and giving pointers on how to draw up case histories locally.

The naval leadership section would consist primarily of a revised version of the 1949 edition of Naval Leadership.[7] Such a revision should present a textbook discussion, taking into account all the advances which have been accepted from recent leadership research, and, in addition, providing a reprint of a few selected papers in the area--

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[7] Dr. John K. Hemphill informed the author that an evaluation of the book and its early use at the Naval Academy, done by Dr. Filmore Sanford and himself, is to be published in an early issue of a psychological periodical.

[illegible]

[illegible]

[illegible]

similar to the approach used by Robert Dubin in his recent casebook in human relations.[8]

The case methodology section should be a procedural presentation, offering a complete discussion of how the case method can best be used to accomplish the objectives agreed upon in establishing the criteria for this leadership development program. It should be prepared by professional experts under navy contract, but it should not represent an extreme approach -- such as either the "free" or "determinate" methods tend to be. Final decisions on context should rest with a board of experienced naval officers. Specific advice should be included on such topics as how to establish the proper student-centered atmosphere, the appropriate actions called for on the part of the instructor and the participant, accepted methods of procedure for the overall program, the steps in the process of decision-making, and pointers on conference procedure. In addition, concrete suggestions, similar to the type which have been included in chapters IV and V of this thesis, should be given on such program elements as: motivation and orientation of participants in advance of case discussion, establishment of the proper size and nature of group, provision of the most ap-

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[8] See Robert Dubin, Human Relations in Administration (New York: Prentice-Hall, Inc., 1951).

similar to the expression used by Robert Smith in his recent
monograph on Greek rationalism.[1]

The more matriculating question already is a presumptuous
presumption, lurking a complete disconnection of how the case
matters can not be used to manipulate the objectives proved
upon in validating the criteria for this underlying dem-
velopment theorem. It should be now clear to professionals
whom we under many circumstances, but it should not represent an
extreme difference to mean to widen the "free" or "necessa-
ry" [illegible] [illegible] to be, Hume indicates in another phosic
[illegible] [illegible] of [illegible] moral difference. Qualifie
[illegible] [illegible] [illegible] [illegible] to [illegible]
[illegible] [illegible] [illegible] [illegible], the appropriate
[illegible] [illegible] [illegible] [illegible] [illegible] [illegible]

propriate physical environment for discussion meetings, determination of the proper length of entire program and of each session, and how to provide the best organization and leadership for the program.[9]

The third and final section of the casebook would include the selected cases and pointers on how to draw up case histories locally. Professional guidance is definitely called for in the development of this section. The collection of cases should begin as soon after approval of the overall program as possible, as this will require a great deal of time, and the volume of cases prepared should allow considerable editing and elimination in arriving at the final group to be printed in the casebook. Cases should be prepared in such a way that they can be readily catalogued according to level -- rank and station of officer who would be responsible for major portion of decision-making in the case -- and according to type of unit -- afloat or ashore, line or staff, peacetime or wartime, operational or training, etc. No attempt should be made to make each case depict only one specific leadership principle or disciplinary problem, although some broad sub-grouping within

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[9] See Appendix M for the author's pointers for use in the preparation of a case method program for leadership development of military officers.

[illegible]

the categories already listed, such as centralization, specialization, relations with superiors or subordinates, etc., will probably be desirable as an aid to group leaders in selection of cases for discussion.

Each case write-up should be evaluated by actually using it in an experimental session in a group trained in the same manner that subsequent groups in the field will be trained. Comments and recommendations should be obtained from the group leader, the group members, and from at least two professional case teachers who have observed the sessions. Based on these composite evaluations a joint board of naval officers and educators would select the final group of cases when the casebook is put together.

When the tentative casebook -- which might be titled "Naval Leadership Development Manual" -- has been compiled, a limited number of copies should be printed and then the complete program should be given a trial by setting up pilot tests in a limited number of heterogeneous naval activities. The results from these tests would be evaluated, and any acceptable recommendations would be incorporated in the service edition of the manual.

At this point it would be most advisable to prepare a brief training movie for navy-wide distribution. This film

the categories already listed, such as centralization, specialization, relations with superiors or subordinates, etc., will probably be desirable as an aid to group learning in selection of cases for discussion.

Such case write-up should be evaluated by actually using it in an experimental session in a group trained in the case method that subsequent groups in the field will be trained. Lessons and recommendations should be obtained from the group leader, the group members, and from at least two professional case leaders who have observed the one-alone. Based on these composite evaluations a joint board of naval officers and educators could select the final group of cases from the medium in use together.

Then the tentative assessment -- which might be titled "Naval Leadership Development Manual" -- has been compiled, a limited number of copies should be printed and then the complete program should be given a trial in actual up-dated cases in a limited number of antecedent-consequence naval situations. The results from these tests would be evaluated, and any inadequacies in the manual would be incorporated in the revised edition of the manual.

A brief note. It would be very valuable to prepare a better instrument than currently for comparing "performance" with the

would follow the program through from start to finish in exactly the manner prescribed in the manual, and it would show a sample case discussion being conducted by a typical group of naval officers. Every effort should be made to have this completed movie available in the field by the time the program is actually inaugurated. This would help assure that the case technique would be really understood throughout the navy, and that proper methodology would be used from the start. In addition, movies or strip film cases should be prepared, evaluated, and made a permanent part of the program if feasible.

The program is now ready for release to the entire naval establishment. Before the actual release of the manuals and the film, however, an attempt should be made to obtain the endorsement of the program by one or more top-level naval authorities. These endorsements would be used in a public information build-up, both inside and outside the navy, to give the program as much publicity and prestige as possible. Furthermore, if feasible, it is recommended that specially trained teams be sent to key locations to give demonstrations and to assist in inaugurating the program at the activity level. Finally, if the overall development plan proves adequately successful after service-

would follow his progress through from start to finish in exactly the manner prescribed in the manual, and it would show a simple case of [illegible] being conducted by a typical group of naval officers. Every effort should be made to have this completed audio available in the field by the time the program is actually launched. This would help ensure that the [illegible] would be fully understood by [illegible], and that proper mentoring would be used from the start. In addition, service on ship film cards should be prepared, evaluated, and made a permanent part of the program in Washington.

The program is now ready for release to the entire naval establishment. Before the actual release of the manual and the film, however, a decision should be made to permit the commencement of the program by one or more [illegible] naval activities. These experiments will be used in a small [illegible] [illegible], some [illegible] and overall the [illegible], [illegible] and [illegible] the [illegible] of [illegible]. Furthermore, [illegible], it is necessary that [illegible] [illegible] be made in order to [illegible] to give recommendations and to assist in interpreting the results of the [illegible]. Finally, if the overall [illegible] [illegible] [illegible] [illegible] [illegible]

wide trial, follow-up efforts should be made to assure that a permanent official policy is formulated and promulgated which will assure that this method of leadership development becomes a continuing part of the navy's formal program for officer training.

Summary

One definite objective of a training program for military officers is the development of the ability to adjust readily to new situations. Since military units are groups of men, this ability will, of necessity, involve an understanding of the factors which cause men to respond differently to the same situation.

The bureaucracy required by the regulatory nature of a military organization tends to develop among officers a type of institutional leadership which denied full utilization of the human mental potential available in the organization. In order to overcome this ambivalent tendency, the behavior of an officer must be conditioned through the development of a "totalistic intelligence" which can utilize the spontaneous contributions of subordinates toward the solution of problems, yet at the same time inspire a mature respect for and obedience to military command as a means to an end.

vice vital. Follow-up efforts should be made to ensure that a permanent official policy is formulated and promulgated which will ensure that this action of independently developed becomes a continuing part of the Navy's formal program for officer training.

Summary

One ultimate objective of a training program for military officers is the development in the ability to adjust readily to new situations. Since military units are groups of men, this ability will, of necessity, involve an understanding of the factors which make men to respond differently to the same situation.

The necessary impulse by the regulatory agency serve as a military organization tends to develop among officers a type of institutional conservatism which tended that modification of the human element, primarily available in the organization, is the cause of problems that confronted throughout the [illegible] of a CO-ser must be constituent through the [illegible] of a "[illegible] [illegible]" which has modified [illegible] of [illegible] or [illegible] [illegible] the [illegible] of [illegible], yet it has been time tested a [illegible] [illegible] [illegible]

There appears to be no explicit official policy in the United States Navy today concerning the methods to be employed in the development of leadership among officers. This thesis holds that such a policy should be devised. Furthermore, experience to date in the fields of education and business seem to indicate that the case method of instruction is one effective technique for developing personal insight and skill in the scientific method of problem-solving, particularly in the area of human relations. It is proposed that such a program be considered for the development of leadership in officers of the navy.

CHAPTER VII

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

Summary

The purpose of this study was to conduct a qualitative appraisal of the case method of instruction, with particular emphasis upon those characteristics which might make it a valuable technique for use in the development of leadership in naval officers. The research consisted of a survey of pertinent literature, supplemented by personal interviews with a few men who have had experience with the use of case studies in both the educational and industrial fields, and by written inquiries addressed to others in the same two fields who could not be interviewed in person.

Time and monetary limitations precluded the use of a controlled experiment in connection with this appraisal. Findings and conclusions will be drawn from the foregoing study of the experience of others in the use of the case method, rather than from a statistical evaluation.

This study was inspired by the lack of a continuing formal organized program within the United States Navy for the development of leadership in officers. Investigation

CHAPTER VII

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

Summary

The purpose of this study was to develop a qualitative approach to the [illegible] interaction, with particular emphasis [illegible] which was to be a valuable technique [illegible] the evaluation of leadership in [illegible] the method consisted of a survey of participant [illegible] observations with a [illegible] case of case analysis [illegible] and individual "depth" and by further [illegible] to the case two [illegible] in [illegible].

[illegible] validate the use of a [illegible] with [illegible] analysis. [illegible] the [illegible] the use of the case method [illegible] analytical [illegible].

[illegible] the [illegible] of [illegible] the [illegible] [illegible]

by the author, assisted by the Training Research Section of the Bureau of Naval Personnel, failed to disclose any explicit written policy within the navy concerning methods to be used to encourage the growth and development of naval officers in areas other than technical ones. Consequently, this thesis has resulted in the proposal that such a policy be formulated, and that the case method be tested as a possible answer to the leadership development problem.

It was noted that the need for a more positive means of developing leadership among military officers has greatly increased in the past decade because of the increased need for teamwork and co-operation which has been brought on by the complexity of the new modes of warfare. It appears that the conventional objective of military training which placed preponderant stress upon the close-order concept of one-way communication should be re-examined, and that a new concept should be considered which will encourage the self-starting characteristic of the military man to operate in those areas where individual contributions can assist in the solution of problems. This thesis has been concerned with the search for a means of implementing such a revised concept -- with the search for a training method that could develop in naval officers a plasticity of mind which is so essential to an

by the author, assisted by the training research section of the Bureau of Naval Personnel, failed to disclose any explicit military policy within the navy concerning methods to be used to encourage the growth and development of naval officers in areas other than technical ones. Consequently, this thesis has resulted in the proposal that such a policy be formulated, and that the case method be tested as a possible answer to the leadership development problem.

It was noted that the need for a more positive means of developing leadership among military officers has gradually increased in the past little because of the increased need for commanders and staff officers who have grown up in the complexity of the modern military. It appears that the conventional approaches of military training which placed successively direct upon the junior officer certain of the responsibilities should be assumed, and that a new approach should be substituted which encourages the individual officer to develop and be exercise in more broad where individual responsibilities are taken in the service of [illegible]. This approach has been compared with the [illegible] for a change in the [illegible] training [illegible] are worth [illegible]. A policy which will [illegible] officers a climate in which risk is encouraged [illegible]

understanding of the illogical human responses as well as the logical one that could develop a "giving" type of followership which evidences a self-inspired acceptance of military command as a means to an end without developing an attitude of inalienable right to question orders from above. One which could produce a creative, dynamic type of leadership which is based on two-way communication and a scientific rather than a stereotype trend of mind.

In order to establish a standard against which to measure the value of the case method, it was deemed necessary to evaluate the consensus of current opinion as regards the nature of leadership and the nature of learning. That study was followed by an investigation into the theory and characteristics of the case technique and a summarization of some of the results which have been noted from its use in the fields of education, business, and the military. In the conclusions to follow, the case method will be appraised in the light of the overall objective of a military leadership development program and with due regard for the fundamental principles of leadership and learning.

Findings

The findings resulting from this study consist of reasoned deductions derived from a survey of pertinent

understanding of the illogical human responses as well as the logical one that could develop a "giving" type of following which evidences a self-imposed acceptance of military command as a means to an end without developing an attitude of individuals right to question orders from above. One which could produce a creative, dynamic type of leadership which is based on two-way communication and a motivation rather than a stereotype based of fear.

In order to establish a standard yardstick which to measure the value of the case method, it was deemed necessary to evaluate the consensus of current opinion as regards the process of leadership and the nature of learning. That study was allowed by an investigation into the theory and characteristics of the case technique and a consideration of some of the results which have been noted from its use in the fields of education, business, and the military. In the conclusions to follow, the case method will be appraised in the light of the overall objectives of a military leadership development program and with due regard for the fundamental principles of leadership and learning.

Findings

The findings resulting from this study consist of research conclusions derived from a survey of personnel

literature, personal interviews and correspondence with individuals and business organizations which have used the case method in development programs, and from the personal experience of the author during twelve years of commissioned service in the United States Navy.

In the review of the nature of leadership it was found that the preponderant weight of opinion today in the area of leadership study is opposed to the pure trait approach. There is general agreement that there are certain personality traits which are more often found in leaders than in non-leaders, but the mere possession of such traits does not constitute one a leader. Among the definable characteristics found in most leaders are some which are considered to be trainable in many potential leaders, e.g., knowledge of human nature, a scientific trend of mind, and enthusiastic purposiveness.

In lieu of the pure trait approach to the analysis of leadership, most students in the field have adopted a dynamic approach which considers that leadership must be expressed as a complex equation with many variables, the primary ones being: the leader himself; the followers; the conditions of the situation; and the emotional, psychical, and cultural influences operating on both the leader and the led.

literature, personal interviews and correspondence with individuals and business organizations which have used the case method in developing programs, and from the personal experience of the author during twelve years of consultation service in the United States Army.

In the review of the science of leadership it was found that the psychological origin of opinion varies in the area of leadership study is opposed to the pure truth approach. There is general agreement that there are certain personality traits which are more often found in leaders than in non-leaders, and the more prominent of such traits have been mentioned in a general manner. Among the outstanding characteristics "good" in most leaders are those which are considered to be combined in many successful leaders, i.e., knowledge of human nature, a motivating sense of work, and enthusiastic temperament.

In view of the very small attention to the analysis of leadership, most students in the field have engaged a figure-in searches which emphasize that leadership must be measured as a complex function with many variables. In planning case studies, the author carefully has considered the case method of the Harvard Graduate School of Business Administration, and personal interviews conducted by such the leaders as

There seems to be definite indication that there are many different leader types and that an individual might be a leader in one situation and a follower in another. Some of the leader-types of interest to this study are: formal vs. informal, creative vs. domineering, delegative vs. non-delegative, and face-to-face vs. indirect. The manner in which a leader gets a job done also will vary with the individual and with the situation. He may place primary emphasis upon being socially acceptable; he may be chiefly production-minded and subordinate all other objectives to the demand for output; or he may conceive of his role as primarily that of a group catalyst with the main objective being that of inspiring maximum contribution on the part of each follower.

Leadership studies at Ohio State University's Personnel Research Board have shown that leader behavior can be described reliably and quantitatively, and have indicated that perceptions of responsibility, authority, and delegation may be related to effectiveness of administrative performance. There seems to be need for training of leaders in self-perception, as evidenced by the fact that superior's and subordinate's description of behavior of an individual leader agree better with each other than a self-description

There seems to be definite indication that there are many different levels upon and from an individual might be a leader in one situation and a follower in another. Some of the leader-types of interest in this study are formal vs. informal, creative vs. conformist, objective vs. non-objective, and face-to-face vs. indirect. The manner in which a leader goes a lot deep also will vary with his individual and his situation. So may place primary emphasis upon being socially perceptive, he may be highly procedurally-minded or structured, if other dependent on the group, or actually act as any combination of his role as primarily that of a group minded with the main objective being that of implicit, central coordination on the part of some followers.

Accordingly, studying of role with primarily personal and formal bases were seen more larger behavior and so theoretical reality and quantitatively, and have indicated that major ideas : responsibility, authority, and integration may be taken in effectiveness of interpersonal relationship. Leader needs to be good for training of leadership in activities, as evidenced by the fact that everybody has different the importance of authority of an informal leader using initial skill even under than a self-sacrificing

agrees with either. Another principle which has been drawn concerning leadership training is that results may be fruitless unless changes in behavior of those at the top also occur. Studies of group dimensions have indicated that the successful leader tends to risk his personal welfare for the group and operates so as not to indicate a feeling of being superior to group members except in larger groups where the followers accept more leader-centered behavior. Finally, the status attitudes of an individual appear to bear a direct relationship to his acceptance as a leader, and only limited progress toward leadership development can be made so long as extreme status attitudes persist.

Learning is generally considered to be evidenced by a change in behavior and increased ability to handle new situations. The process phases thereof consist of acquisition, retention, and transfer. Active participation usually results in better acquisition of skill or knowledge; retention is highest when there is a high level of understanding and when the learning involves increased ability to apply principles; and transfer occurs best when the new entity to be learned is presented in closest relationship to previous experiences.

Knowledge seems to operate on at least four different levels, the highest two of which involve evaluation and

agrees with either. Another principle which has been drawn concerning leadership training in other studies may be illustrated when changes in behavior of those at the top also occur. Studies of group dynamics have indicated that the successful leader tends to risk his personal welfare for the group and operates so as not to indicate a feeling of being superior to group members except in larger groups where the followers accept more leader-centered behavior. Finally, the status attainment of an individual appears to bear a direct relationship to his acceptance as a leader, and only limited programs toward leadership development can be made at long or narrow stated training periods.

Learning is generally considered to be evidenced by a change in behavior and increased ability to handle situations. The process phases thought consists of acquisition, retention, and transfer. Active participation usually results in better acquisition of skill or knowledge; retention in minds when there is a high level of understanding, and when the learning involves increased ability to apply principles, and transfer occurs best when the new skills to be learned is evidenced in closest relationship to previous experiences.

Training seems to operate on at least two different levels, the highest two of which involve evaluation and

application to new situations. The primary objectives of education are to supply data for problem solving and to develop the ability required to evaluate that data and apply it meaningfully to new situations. Benne and Molinaro have offered the following summary of aims which an educational process should seek to satisfy:

> (1) Men of all groups, including other groups than "my own," are unique centers of thought and valuation and are potential contributors to my learning, as I am to theirs.
>
> (2) Human interests, attitudes and ideologies are learned and can be unlearned or reconstructed in learning -- intergroup collaboration and communication are necessary conditions of reconstructing attitudes that are group reinforced.
>
> (3) The quest for dependable meanings concerning a plurality of means and ends is at once man's most characteristic and hopeful activity; to assume that one knows the final truth or good is to put an end to this activity.
>
> (4) Power is best conceived as centered in effective human control over things and means through which things may be made to yield human satisfactions. The widening of power through the growth among men of common understandings, skills, and controls in managing their environment is a good to be sought. "Power" which obstructs this widening is "power" to be restricted and reeducated ...
>
> Where men differ, each may learn from an experience different from his own.[1]

These might be paraphrased to include the development of:

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[1] K. D. Benne and L. Molinaro, "Educative Use of Controversy," Educational Leadership, Vol. 8, March 1951, p.364.

[illegible]

(1) open-mindedness, (2) an appreciation of the influence of culture effects on man's responses, (3) self-perception, and (4) an understanding of the true nature of "earned power."

Many conventional teaching methods do not seem to satisfy the basic educational objectives adequately, particularly when applied to the study of human relations. A methodology which provides for learning through purposing, planning, doing, and evaluating, and which involves a student-centered approach would seem to offer better chances for effective learning. Such a process should develop insight[2] and appreciation for others' contributions, and should offer a more direct route to better understanding of human responsiveness. Axelrod has offered a summary of the gains which can be realized from the student-centered approach in the following list of major aims of the group discussion method:

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[2] Gordon's conclusion on this question is pertinent: "It seems that with more and more certainty, we can predict that when people are faced with a non-threatening, non-evaluative, and accepting situation in which they gradually learn they can take responsibility for their own development, they gradually begin to feel it is secure to explore themselves and to accept things about themselves which then lead to changes in their self-concept," From Carl R. Rogers, Client-Centered Therapy, (Boston & New York: Houghton Mifflin Co., 1951), p. 223.

(1) open-mindedness, (2) an appreciation of the influence of culture effects on male behavior, (3) self-perception, and (4) an understanding of the true nature of "earned power."

Many conventional teaching methods do not seem to satisfy the basic educational objectives, particularly when applied to the study of human relations. A methodology which provides for learning through participating, planning, doing, co-operating, and which involves a student-centered approach could seem to offer better chances for effective learning. When a process should develop insight and appreciation for others' interpretations, and should offer a more direct route to better understanding of human interpersonal [illegible] a summary of the ideas which [illegible] from a [illegible] classroom-centered approach in the teaching and learning of human dimensions of the group discussion method.

[illegible] evaluation of this question in particular [illegible] the [illegible] with a non-threatening, non-evaluative, [illegible] [illegible] [illegible]

To make students aware of a given problem and of its significance.

To make students aware of the considerations which must be made in order to arrive at a solution to the problem.

To require students to think through the problem and work out a solution which, in class, they will be prepared to present and defend.

To give students the opportunity to present the solution which they have worked out, to argue in its support and to answer objections to it; and to encourage them to modify their original solutions in the light of those objections and in the light of other proposed solutions.

To enable students to see through the modifications they find themselves forced to make, how their original thinking on the issue has been inadequate and where the inadequacies lie.

To teach students, through actual practice, the art of discussing an issue with others on a rational basis; to give them practice in interpreting accurately another person's position and in evaluating that position soundly; to inculcate in them the attitude that the best solution (even if it is an opponent's) is a greater end than victory in an argument.[3]

Many educational and military leaders have concluded that leadership can be taught and that certain principles of human relations can be useful in the leader's fund of knowledge. For this teaching it appears that a technique is needed which places emphasis on the scientific method of reasoning and the development of insight and problem-solving ability.

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[3] Joseph Axelrod, "The Technique of 'Group Discussion' in the College Class," Journal of General Education, Vol. 2, April 1948, p. 237.

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To enable students to see through the justifications they find themselves forced to make, how their religious thinking on the issue has been inadequate and where the inadequacies lie.

To teach students, through actual practice, the art of discussing an issue with others on a rational basis; to give them practice in interpreting accurately another person's position and in evaluating that position sympathetically; to inculcate in them the attitude that the best solution (even if it is an opponent's) is a greater and than victory in an argument.[3]

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[3] Joseph Lesikar, "The Technique of 'Group Discussion' in the College Class," Journal of General Education, Vol. 2, April 1948, p. 227.

The case method of instruction provides the opportunity for a student-centered approach which encourages maximum participation in the learning process and which can successfully develop insight and ability to employ the scientific method in the solving of problems. It can be developed along either inductive or deductive lines, but there seems to be good justification for employing a combination of the two in the handling of cases. As a teaching technique, it is peculiarly applicable to a study of the interactions between people, for in the very act of freely participating in discussions concerning true-to-life case characters, the participants are engaging in human relations and learning how to work together toward a common objective. In this manner, substantial success is achieved in the softening and amelioration of status-bound attitudes, prejudices, and narrow-minded closures inherent in an individual's mental make-up. When the nature of the bureaucratic and institutional tendencies which strongly influence the development of the military mind are studied, one is led directly to the conclusion that a contrasting developmental influence is essential if the military organization is to achieve its ultimate desired effectiveness. As Gordon has said, "Actually the question is not whether the group members <u>or</u>

the leader can make the soundest decisions for a group. It is whether the leader without the group members can make better decisions than can the total group including the leader."[4] Since the case method has produced positive results when used as a counter-bureaucratic stimulus, it definitely follows that its use as a technique for leadership development should have valuable potentiality.

Conclusions

Findings deduced from this study seem to support the following conclusions:

1. There is no explicit formal policy in the United States Navy which specifies methods to be employed for the development of leadership in officers.

2. There is a need for a formal program of leadership development for officers of the navy which continues to increase with each new increase in the complexity of modes of warfare.

3. The conventional close-order concept of military training should be re-examined in the light of the greater need for the self-starting characteristic of a military man in the armed forces of today.

4. A new concept of leadership development should be

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[4] Rogers, op. cit., p. 343.

adopted which produces a type of followership which evidences a self-inspired acceptance of military command as a means to an end, and results in a creative type of leadership which is based on two-way communication and a scientific rather than a stereotype trend of mind.

5. A dynamic concept of leadership, constituted of a number of variables such as, the leader, the led, the situation, and the emotional, psychical, and cultural influences, should be utilized in the formulation of criteria for a leadership development program for naval officers.

6. A leadership development program should consider that there are different leader-types, different manners in which a leader may get a job done, and that the leader in one situation might be the follower in others.

7. There is a need for training of leaders in self-perception, understanding of human relations, appreciation of the influence of status and culture influences on human responsiveness, and in the art of objective problem-solving through the use of the scientific method.

8. Leadership can be developed in some individuals, and for most of these a technique which employs a student-centered approach in a non-threatening, non-evaluating atmosphere may be most effective.

9. The case method of instruction provides the opportunity for student-centered teaching with maximum participation. It can successfully develop insight and problem-solving ability, and it is peculiarly applicable to the study of human relations.

10. The case method possesses substantial potentiality as a technique for the development of leadership in officers of the United States Navy. It offers strong possibilities of being a successful procedure in a majority of cases for the development of self-insight, objective problem-solving ability, ability to accept the contributions of others toward the solution of a mutual problem, and the ability to reduce the detrimental influences of the bureaucratic mind.

Recommendations

As a result of the findings and conclusions drawn from this study, the following recommendations are made:

1. That the Navy Department continue the sponsorship of studies and research in the field of leadership, but that a larger portion of the effort be expended in applied research and less on pure research; that studies such as the one which produced Personnel Administration at the Executive Level[5] be integrated with research such as that being done

[5] Personnel Administration at the Executive Level (Annapolis: United States Naval Institute, 1948), compiled under the editorship of the Management Engineer of the Navy Department.

[illegible]

by the Personnel Research Board at Ohio State University and with more limited studies such as this thesis represents, to the end that maximum productive value be realized at the operating level.

2. That a comprehensive job analysis be accomplished, under professional guidance, of all officer job-types within the naval establishment, with the results being expressed in a form that will aid in the formulation of criteria for the training of officers.

3. That the case method of instruction be comprehensively evaluated under navy contract, with particular emphasis on its potentialities as a possible technique for the development of leadership in naval officers.

4. That, if the results of the study proposed in recommendation number 3 are positive, the case method program proposed in chapter VI of this thesis be carried out by the navy.

5. That a formal policy regarding leadership development of officers be prepared and promulgated by the Navy Department, and if recommendations 3 and 4 are carried out and prove successful, that the case method be adopted for implementation of this policy.

[illegible]

APPENDIX A

Excerpts from a letter dated April 15, 1952, to the author, from Karl A. Boedecker, Department of General Business, Michigan State College:

I know of no writings which will resolve the conflict between "free" and "determinate" case study methods. Actually some of the Harvard Staff members are quite determinate in their teachings even though they employ cases in a rather complete case study environment. As you well know, the mere embracing of the case method does not guarantee that the instructor will not act in a determinate or authoritarian manner. My own great struggle is to act less determinatively in the classroom. I feel that I am making progress, but only as I constantly, day to day and term to term, review what I have been doing as a teacher.

When I try to think about the principles of human relations, I get lost. (I, too, teach a course based on The Administrator). I cannot honestly rely upon any principles as bases for action. I have started with the Golden Rule and the Ten Commandments and worked toward such ideas as "two-way communications" and "keeping everybody informed." For some unexplainable reason I seem to be quite skeptical about learning and applying principles of human behavior.

Recently, therefore, I seem to have lost interest in principles. I am much more concerned with developing my own capacities to sense and define a problem situation. I seem to be able to get things done quite free and clear of principles if only I can get a grasp of what is happening in a situation - who are the persons concerned, what are their feelings, what are they doing to one another, are they saying what they mean, what assumptions are they basing their actions on, what is the meaning of the words they are using, etc.?

Of course, I draw on my experiences, but I do this after I have a grasp of what is going on. The danger of applying principles is that I sometimes try so hard to force the situation into my principle concept. This often has led me into difficulty.

I should like to comment on using case material to develop military leadership. For me, cases represent one way

of getting the job done. And the job as I see it is one of developing the sensitivity of persons in positions of authority. I am not sure that all authority is "bad." The kind we seem to resent is that which is insensitive to our feelings about ourselves, our positions, our beliefs, our suggestions.

I think sensitive leadership can be developed and encouraged. That development is probably related to helping men learn how to see and hear. By that I mean exactly what I say. Many persons live in a state of semi-ignorance not because they are stupid but because they have underdeveloped capacities to recognize objects and to hear sounds. Use of all the senses is basic to finding out or learning. And I do not see how we can have effective leadership in any situation until we have leadership which is capable of informing itself of the facts, i.e., about what is going on in a human situation. Beyond that is the whole question of what a person will do with a particular set of facts. But the starting point in any judgmental situation seems to me to be one of discovering that information which can be discovered within the limits of time, money, and energy. Usually this will be something less than the complete information which is desirable, and so we begin with more or less difficulty at the very outset.

I feel, at this point in my thinking, that there are several learning methodologies which may force a person to develop his senses. Any of these may, perhaps, be useful for encouraging leadership capacities. The use of cases happens to be a handy methodology because case material is readily available and the cases can be more closely related to leadership contexts. I have observed naval officers use cases, and I believe they developed into better officers because of their experiences.

Another, perhaps too obvious point which we seem to overlook in our haste to train students - and perhaps officers - is that we cannot significantly alter in six weeks or even six months personalities which have been developing in various social environments for 20-30-40-50 years. We should not, therefore, get discouraged because a military officer does not overnight turn into a skillful human relations expert. It seems to me we all need patience in addition to enthusiasm and stimulating methods.

APPENDIX B

Excerpts from chapter XV of a forthcoming book on Executive Development by Dr. John W. Riegel, Director of the Bureau of Industrial Relations, University of Michigan, Ann Arbor, Michigan:

The Discussion of Cases

Realistic cases from outside a company can be discussed frankly by its executives who know that their criticism is not directed at any associate or his department. On the other hand such cases may not be as interesting to the executives as some taken from its own experience. If the purpose of the discussion is to illustrate and emphasize a specific line of action which is to be followed in the company a case from its experience would seem to be needed. The members of the conference can then fill in the background. Their conclusions can be drawn sharply and may be endorsed by the management for situations of the type outlined. In this use it is necessary to guard against undue generalization on the basis of a single case if the procedures should be adjusted to meet changing circumstances.

Where the discussion of the case is primarily for the exercise, the source of the case is not particularly important. The main question then is whether the case provides a good project.

A common sequence in the use of a case for man-development purposes is to ask what in essence is happening in the situation and what the major issues are, what conditions and actions have caused the situation, what should be the aims of the responsible executive in trying to improve it, what methods of treatment could well be employed, and what the outcome of each would probably be. After this weighing and sifting process there can be a thorough-going discussion of the favored method. The participants can attempt to outline its several steps in proper order, and to answer a number of pertinent questions, such as when, where, how and by whom each step is to be taken. Although such thorough-going consideration of a specific case is time-consuming, it can be a valuable personal experience since it requires analysis, the exercise of judgment and the formulation of specific plans.

Values of Case Discussion

We turn now to a number of values which can be derived from well-conducted discussions of business cases. First we can mention the exercise of thought-processes which are often used by executives. We refer to the "observation" or detection of the important causes of a problem, to the critical appraisal of them, and to plan-making. More specifically, a case as a teaching medium requires the perception of the issues involved in the situation and its causes, insofar as those can be identified from the record. It requires the critical appraisal of the causes and of the proposals for correcting them. It requires plan-making in that the learner is asked to project a specific program of treatment.

Each participant subjects his ideas, attitudes and proposals to the critical examination of his associates. This experience, assuming that there is give-and-take among the individuals, may show him that he has biases, and that he favors aims and methods which are not approved by others in the group. He then may try to change in view of the reactions caused by his statements.

Some executives regard problems in fields other than their own as relatively simple. Yet the executives in those fields regard the same problems as complex and baffling. The major reason for the difference is that the first group doesn't understand the work of the second. A good case relating to the field should reveal some of the difficulties there. The participants thus are led to realize that problems in other fields than their own are not simple, and are not to be disposed of by superficial consideration and treatment.

Also the consideration of individual cases reveals the many variable factors involved. It puts a man on guard against generalizations and against attempts to reduce the treatment of any type of business problem to a rule or so-called principle. Such a rule could do more harm than good by over-simplifying the issues and promoting the idea that the particular situation does not need to be explored.

The consideration of business cases also emphasizes the probability that several points of view should be taken in studying any situation and in trying to devise a suitable treatment for it. This value of case discussion is evident in cases pertaining to management - employee or management-union relations, in cases dealing with buyer-seller relationships, and in cases pertaining to debtor-creditor relation-

ships. The same value can be derived from cases pertaining to interpersonal problems among managers themselves.

Case discussion reveals the many interpretations that executives themselves will put upon a given narrative. These reactions show that the individuals are giving different meanings to the statement or failing to notice other items clearly presented there. The experience shows that different individuals are sensitive to and interested in different types of things. Their reactions reflect their experiences. These differences warn a discerning participant against the assumption that others share his views completely. The discussion in a conference, whether focused on a case or on other topics, also shows how the members react to the statements made in the group. This shows the alert members how to participate in a discussion with a view to informing and persuading the other members.

The discussion of a case may reveal a consensus regarding its treatment. This may have a disciplinary effect upon the individuals who have taken extreme and untenable positions in the discussion.

Finally there should be mentioned the example which can be set by the conference leader himself. A highly competent conference leader reveals skill in encouraging expression and in guiding the consideration of each case. He sets an example of tolerance, orderly thinking, clarity of expression, and even-handed treatment of all of the participants. This is a valuable example for executives who themselves often conduct conferences.

Some persons have criticized the use of cases as unduly time-consuming. Their argument is valid if they are viewing cases as means to communicate ideas which are meaningful to the learners without illustration. Direct statements serve much better for that purpose. On the other hand, cases can serve to illustrate an idea or a procedure when that is necessary. They can describe it in operation in a typical setting, and they can narrate the development of the consequences of specific actions. This rich illustrative use of cases can well justify the time required to study them. The question really turns on the learner's need for the illustrative material. We have seen, however, that the use of cases for communication of ideas and information is not their unique and most significant use. More importantly they can be means for stimulating and requiring the exercise of analytical and constructive thought. In this use the objective is the development of people. When critics argue against the use of cases because they "take too much time," these critics

probably are thinking of the illustrative and informative services of cases rather than their truly educational uses. Those do take time, and necessarily so.

Some Limitations of Case Discussion

Perhaps the major limitation of case consideration and discussion by practical men is that the entire procedure is on an intellectual and verbal level. Even though the foregoing values are recognized, it is still true that the activity of the group stops short of performance. Members may show themselves to be good analysts and even good plan-makers in these sessions but they may not be good executives or administrators when actually faced with real issues and the necessity of taking appropriate action.

A second limitation of this discipline is not so serious. It grows out of the fact that a case is not an actual situation but a report of an actual situation. Those who would learn from it must interpret and react to a record, whether written or spoken. The actual individuals are not there, the actual setting is not there, and many of the signals which help experienced executives to understand a situation are not actually in operation. This fact explains some of the differences in their interpretations, their analyses and their recommendations with regard to the same transcript. The same words mean different things to these individuals. This difficulty seems to be inherent. A company cannot provide a real situation on schedule at a particular place for purposes of instruction. Perhaps the best that can be done is to provide a report, possibly a well-illustrated one, of the development of an issue or situation which required administrative decision and action. Methods of presenting such situations are being improved. Motion pictures, still pictures, dialogues on records and other devices are being used to convey as much as possible of the situation to the members of the discussion group. However, it still remains true that the members are reacting to a transcript rather than to reality, and therefore the exercise, so far as observation and detection of "signals" is concerned, is somewhat abstract.

Another governing factor is the ability of the available conference leader. He should be fully aware of the uses and limitations of the technique of teaching by the case method. He should see its most significant value to be the development of the intellectual powers of the members of his group. He should, of course, realize the dangers of pat solutions

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and of generalizations on the basis of a single case.

Since case discussion focuses on the transcript or record of a real situation there can be identification of individuals with it. Also feelings are stirred by the clashes of opinion as regards goals to be reached and methods of treatment. The discussion leader should be alert to strains of this kind in the group. He may divert the discussion at times to relieve the tension. In time, case discussion can promote toleration of the other man's opinions and their objective consideration. It can modify extreme positions, dispel unwarranted assumptions and correct biases held by the participants.

A leader may ask the members to answer in writing a few basic questions about a case. These can be turned in without identification. The answers may reveal important differences of opinion. Several may be quoted to stimulate discussion at the outset. The procedure does require independent thought and it gets most of the members to express opinions.

The leader should not permit a drawn out argument wherein each of the contestants wishes to establish the superiority of his ideas. The leader can interrupt such an argument by pointing out that each man has had an opportunity to state his views fully and that the exercise in studying and discussing the case is of more value than agreement on a solution. He can point out also that probably several lines of action could prove successful in the particular situation.

and of generalizations on the basis of a single case.

Some case discussions focused on the hypothetical or tentative identification above and be identification of individuals with it. Also feelings are aroused by the clarification of opinions in regards going to the research and methods of investment. The discussion leader should be alert to effects of this kind in his group. He may overdo the discussion to chase to relieve the session. In fact, case discussion can provide valuable of the leader and participants the most objective examination. It can quickly expose positions, dispel misunderstanding and generalizations and increase trust by the participants.

A leader may ask the members to prepare to answer a few basic questions about a case. These can be burned in without identification. The answers may reveal important differences of opinion. Several may be posted to stimulate discussion of the values. The process can require introspective thought and it gets most of the members to express opinions.

The leader should not permit a drawn out argument between two or two participants from to establish the authority of his views. The leader can interrupt such an argument by pointing out that each has his opinion and by to state his views fully and that the controlee in actually the one answer in the case is of more value than argument on a solution. He can note out also that people sometimes have of other views from accepted in the particular situation.

APPENDIX C

Excerpts from a letter, dated February 6, 1952, to the author, from T. G. Newton, Director of Training, Armstrong Cork Company:

In the early days of Supervisory Conferences which started back around 1938 on a formal basis, we started to use the case method. While there was a considerable amount of presentation, we did attempt to use as many case examples for discussion as possible. In 1940, we put together a silent film for use with a written commentary to tell the story of a problem employee. The film contained no answers and was used entirely as a vehicle for group discussion in supervisory conferences. The results we gained from it made us even more confident that we were on the right track. Then for a time, we used recorded case discussions, and they too were very helpful.

After the war, there seemed to be a realization in the organization that we needed to do more in the way of human relations training for supervisors. We felt there were four factors which should be given a great deal of weight. First, there is no one given set of principles which, if followed, will make a person master in handling human relations problems. No two cases are ever the same and therefore there is never one right answer to any particular case. Second, the problem of getting good human relations does not lie entirely at the first level of Management, but extends through all levels of Management, each of them being equally important in the problem. Third, people seem to learn a great deal more from the discussion of specific cases than they do from a discussion of theoretical principles, and therefore the presentation of psychology to management people does not seem to be the right answer. Fourth, this whole problem is one of building attitudes and constant repetition is required if attitudes are to be changed.

The program we finally developed consisted of twenty-four actual human relations case problems selected from our organization. Each of these problems is presented in a sound slide-film giving no answers. These cases have been discussed throughout the organization by supervisors in the

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APPENDIX D

Excerpts from Armstrong Cork Company memorandum "Training for the General Foreman and Superintendent Level in Company A," dated March 18, 1952:

.... The tentative conclusion was that the case method was ideally adapted to the problem at hand, that perhaps the objective set could not be quite as specific as contemplated. In other words, it would not be realistic to just try and train management people in delegation and in the art of consultation only. Rather, it is believed necessary to give men a broader concept of administrative practices and of the general human relations field, hoping that as a result better delegation and consultation would result since the cases would be selected with that objective uppermost in mind. Another conclusion reached was that a pilot group should be selected and given the training in order to get some kind of evaluation of the results.

It was concluded that the matter would be presented to the Plant Managers' Meeting to be held in April. The vice president in charge of manufacture will outline the basic problem and then a plan of training will be recommended to the plant manager. It was further agreed that a discussion of one case tentatively selected for the program will be held using all members (male) of the Personnel Department at the general office. A second trial group may be formed by including staff persons reporting direct to the Vice President in charge of manufacture. The director of training and organization engineer are now in the process of selecting the exact cases to be used. They are contemplating a report for use at the Plant Managers' Meeting along the following lines: (To be discussed with the vice president in charge of manufacture, general personnel manager, and division vice presidents in advance.)

Training Plan

Purpose

The purpose of this training plan if fourfold:

APPENDIX I

Interview: "The Investment Work Group's economic impact in the Central Harlem and Lenox Terrace Level 3, Phase 1" held March 15, 1971:

1. To promote realistic thinking on problems of administration, particularly emphasizing the concepts of delegation and consultation.

2. To challenge present assumptions on administrative practices to determine if evidence will sustain them.

3. To perceive the effect of some administrative practices on those supervised, and

4. To increase the capacity of the individual to work with others.

Content

Approximately ten case studies of actual business situations involving administrative practice will be analyzed. Several cases contained in the text, "The Administrator," will be used as well as some from other sources. They will involve a variety of situations and problems and different levels of management. Their analysis will be directed at two prime questions in each case, (1) What do you perceive to be the core of this problem if there is one in this case? (2) What measures and by whom seem to offer the most lasting solution?

The case approach has been chosen because an understanding of administration comes through experience rather than through the preachment of principles which may or may not apply in a given situation. Skill of analysis of the situation is desired versus the parroting of principles and generalities.

Membership of the Group

The group of 20 persons will be composed of a typical cross section of superintendents, general foremen, and a few shift foremen, together with a few representatives of units, such as Research and Development, Controller's Department, etc. The exact membership of the pilot group will be recommended so that it will be composed of men with differing management philosophies. Individuals will be invited to join the group and acceptance is strictly voluntary.

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Time and Place

This training will be conducted in the general office with personnel from nearby plants starting on a Sunday afternoon and ending on the following Friday afternoon. This location has been designated because; (1) different points of view than are found in one plant are desired, (2) freedom from operating responsibilities is required for concentration on the training, (3) an intensive schedule is required to get the desired change in point of view and such scheduling is not practical in any plant with one possible exception, (4) instructors skilled in the case method are required at the outset.

Instructors

The director of training assisted by the organization engineer will be the instructors for this program.

Date to Begin

The tests of this program with the pilot group will begin within 30 days after acceptance of the plan by the plant managers involved.

Evaluation of the Test Group

One hour will be reserved at the end of the last day of the program for the purpose of evaluation. The production managers together with the vice president in charge of manufacture will meet with the group during this period without the instructors present. It will be their responsibility to evaluate the program through asking any questions they wish to propose to the group. On the basis of this evaluation, a decision will be made to extend or discontinue this training plan.

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[illegible] training will be conducted in the general [illegible] will [illegible] [illegible] [illegible]

APPENDIX E

Excerpts from a letter dated January 31, 1952, from W. R. G. Bender, Manager, Personnel Research Section, Employee Relations Department, E. I. du Pont de Nemours and Company:

> We do not have a formal program in operation throughout the two hundred odd units of our Company in connection with so-called "executive development." In other words, any means employed in the development of supervisory-administrative-executive personnel will vary considerably in terms of the caliber of the unit management, the needs and/or recognition of needs, and a number of other factors.
>
> We do not, at this stage, have any thorough evaluation of any particular case study method, based upon research into effectiveness, and can only state that, in general, the case study method, regardless of approach, is a worthwhile means of developing supervisory personnel under certain conditions. One of these conditions is the understanding on the part of the "leader" of the psychology of learning and techniques in presenting case materials.

APPENDIX F

Excerpts from a letter dated February 5, 1952, to the author, from Earl G. Planty, Executive Counselor, Johnson and Johnson Company:

> We have had experience with it here for groups of engineers, divisional sales managers, middle and lower levels of production supervisors, one board of directors, and a large group of executives drawn from the upper levels of the company.

APPENDIX G

Excerpts from a letter dated May 2, 1952, to the author, from Mr. L. A. Russ, Director of Management Development, Westinghouse Electric Corporation:

> We placed our Management Development Program into operation last November and, to date, have looked upon it as being only the procedural phase prior to establishing a positive course of action in the development of individuals. To date our course of action is not definitely determined although in the management training courses which we are thinking about, we will undoubtedly use a case approach if we can work it out on a practical basis. We do not as yet have the action phase worked out and, therefore, are unable to answer any of the questions which you raise.

APPENDIX H

Excerpts from a letter dated May 5, 1952, to the author, from Mr. John A. Bachus, Personnel Department, Kroger Company:

As you may know, our company is of necessity a decentralized operation. We are organized into five divisions which operate 25 branches located throughout 19 states. We have over 1,900 retail stores operating under these branches. The number of retail stores under each branch ranges from 30 to 188. The branches are divided into districts with each district consisting of approximately 15 stores. Each store is operated by a store manager. The above information is given as background so that you may better understand the levels at which we have been using the case study technique.

We have been applying this technique at two levels:

1. The district manager level in Senior Conferences in Management Development (5 day duration).

2. The store manager level in Junior Conferences in Management Development (3 day duration).

The men are trained in groups of 10, with all participants being on the same level; i.e., all store managers or all district managers. The programs are conducted in branch locations by a team of two trained discussion leaders from the general office personnel department. This team is composed of one man with several years of practical field experience and another man with personnel background and training. In addition to leading discussions after a "case" has been handled, these team members act as observer-evaluators. Several keymen from the home branch also act as observer-evaluators. At the end of the sessions, the observers' notes are compiled into a composite report on each of the participant's performance and an estimate of his potential for higher level work is made.

These reports are reviewed with the man by the branch keymen and are also used as a guide in helping the man in his efforts at self-development. The "cases" used in these conferences are actual problems that have arisen in every day operations on the job. The problems are designed so as to require the participant to handle a problem with an individual on the first day and handling a problem with the group on the second day. (Copies of typical problems are attached.) All problems are handled by use of the role playing technique. For the role playing situation the participant is upgraded one level which places him in the supervisory role in relation to the other person; i.e., a store manager is placed in the role of a district manager and is asked to handle a problem with a store manager. The individual is allowed ten minutes to handle the problem and may use his own judgment in his approach and solution. After each handling of a problem one of the conference leaders will lead a ten minute discussion period in which the other participants offer constructive criticism to the man who has just completed his assignment on his method of handling the problem and the effectiveness of his solution. While a solution may not have been reached, the technique is still an excellent way to develop discussions.

Since the men will appear in only one three day conference and only one five day conference, there is no problem in keeping monotony and repetition out of the two conferences. Each individual in the conference is assigned a different problem. However, we are constantly on the look out for new problems to be used in future conferences so as to maintain a dynamic and challenging atmosphere.

Our evaluations of the program are primarily subjective in nature. However, we have received quite enthusiastic praise and support for this program from keymen who are, by nature, reluctant to engage in time-consuming off the job training.

We feel it is serving a good purpose in helping us determine the leadership qualifications of a man and then to help him develop more quickly by providing him with guidance and the types of assignments he needs. However, we do make it clear to the men that self-development is their own responsibility and that we can only provide them with the opportunity.

We have found the case study technique quite useful in help-

ing us develop leaders in a democratic type of operation. It would seem that this technique could also be useful in developing leaders in other situations. Naturally, the military services present a different type of problem which would have to be analyzed at close hand before determining the practicality of this technique for use in developing military leaders.

APPENDIX I

Excerpts from a letter dated April 30, 1952, to the author, from Mr. R. E. Schwab, Personnel Planning Supervisor, The Detroit Edison Company:

We have made some use of the case study method in our Basic Supervision and Human Relations in Supervision courses. The information you requested is given below, for these programs. For executive development, we have for the most part relied on the solving of actual current work-situation problems under line guidance and direction. Problems that are departmental in scope are frequently shared widely by the department head with his staff and lower levels of supervision. Problems and policy formulation that are interdepartment or Company-wide in scope are often handled by permanent or temporary committees, with participation at some stage and in some instances, extended to all supervisors in the Company.

In general, we favor the use of active, live problems with relatively broad participation and decision-making opportunities. This, of course, is not always practicable and, at any given time, may not provide current problems in some areas. However our belief in democratic supervision, our provision for supervisor conferences in and conducted by the line organization, together with a number of permanent and temporary committees is the background for participation in a surprisingly large number of current problems on a broad front.

In Basic Supervision, a two-week course for new supervisors, we use case studies in connection with training in problem-solving. Practice in human relations problem-solving, using the method developed by Training Within Industry, is furnished using two Armstrong Cork - McGraw Hill sound film-strip, supervisory case studies. This is followed by role-playing a problem of a new supervisor who was promoted over men with greater seniority.

The course in Human Relations in Supervision was given to all supervisors in the Company by Dr. Norman R. F. Maier of the University of Michigan. The "Parasol" Assembly Problem was role-played for each group. Other case studies were presented much in the manner indicated by Dr. Maier in his article "Audience Role-Playing in Human Relations," Volume IV, Number 3, 1951. The "Parasol" Assembly Problem, other role-playing cases and some cases resulting from the use of the group-decision method accompany this letter.

We have been pleased with our limited use of the case study method but for experienced supervisors prefer actual, current problems. For strictly training purposes we would not ordinarily have superior and subordinate in the same group. When considering actual operating problems and policies a superior will often lead a conference of his subordinates. Accompanying materials give some indication of the nature and origin of the case materials. The method of approach varies but ordinarily employs the group-decision method. The "determinate" attitude has been used at times but in actual current problems the "free" attitude prevails especially in human relations problems. We favor line supervisors as conference leaders and we have provisions for conference leader training for them. We have not used a case more than once with a group except where current problems came back for revision or further consideration.

I would hesitate to comment on the applicability of the case method to the development of leadership among officers of the military services. For one thing, I believe we would have to define just what you would include in the case method. The experience of the officers in question, the availability of actual, normal operating problems which could be shared and other factors would seem to be important. Generally speaking, where a substitute for real experience is necessary, case studies offer training values that often cannot be matched by other methods.

APPENDIX J

Excerpts from a letter dated May 13, 1952, to the author, from W. Whigham, Jr., Assistant Vice President, Industrial Relations Administration, Carnegie-Illinois Steel Company.

Several case problems were used some years ago, but these have not been applied since a broad management development program was undertaken in 1945 ...

While cases are used informally for individual development, there is no formal program of the type you have in mind.

However, it is our opinion that the case method has merit, particularly when used to stimulate group thinking toward a practical answer. Lacking military experience since Naval Aviation in World War I, we do not feel qualified to advise on the use of this technique to develop leadership among officers of the Armed Forces.

APPENDIX K

Comments on the "Functions of the Naval Administrator Series" as taken from an evaluation report of Volunteer Composite Unit 1-25, (Educational Specialist), Boston, Massachusetts:

1. Sufficient use has been made of the series to indicate conclusively that it is a sound method of training.

2. The "case method" provides one of the most effective methods of learning in making possible widespread participation of members of the trainee group.

3. While the information taught through the use of the series is both interesting and valuable generally, it serves to round out the background of those participants of brief experience and to refresh those whose active duty days are now rather remote.

4. By the consistent employment of discussion leaders who have the personalities and the techniques necessary for sound conference leadership, the series can be used to its utmost effectiveness. It should be noted that the Graduate School of Business Administration at Harvard University uses the "case method" with acknowledged success.

5. By considering cases in accordance with differing degrees of complexity it is possible to develop the trainee's capability to handle situations involving varying degrees of difficulty.

.....

8. The series gives the participants the opportunity to think on their feet, to meet argument with argument, to accept challenges from others whose greater experiences are bound to impress the trainees and guide their future thinking. Learning under such circumstances provides a fine motivation for the person who wishes to learn and is ready and willing to expend thought and energy to that end.

9. Trainees should be encouraged to challenge the solutions of others at all times provided they are ready to come up with what they consider better ones.

APPENDIX L

Outline of Proposed Case Method Program for Leadership Development of Officers of the United States Navy.

I. Objective -- to develop personal insight and improved skill in the ability to recognize, scientifically analyze, and provide satisfactory solutions for human relations problems.

II. Formulation of Suitable Criteria for Evaluation

III. Development of Requisite Elements of the Program
   A. Compilation of leadership development manual
      1. Naval leadership section
         a. Revision of present Naval Leadership in the light of advances in the study of leadership since 1949, and edited by combined naval and psychologist board
      2. Case methodology section
         a. Instructions for case method procedure to represent the "experimental" approach, rather than the "free" or the "determinate."
            (1) Composition of the group and selection of the leader
            (2) Student-centered approach and general rapport
            (3) Role of the leader defined
            (4) Role of participant defined
            (5) Methods of procedure recommended
            (6) Process of decision-making described
            (7) Pointers on conference methods
      3. Selection of cases
         a. Gathering of human relations cases from every level of every type of naval unit under the guidance of expert case history specialists.
         b. Refinement and cataloguing of cases by combined naval officer and educationalist board.

APPENDIX C

Outline of research and related programs for leader-
ship development of citizens of the United Nations Army.

I. Objectives -- to develop personal insight and improved skill in the ability to recognize, scientifically analyze, and develop satisfactory solutions for human relations problems.

II. Formulation of basic criteria for selection

III. Development of requisite elements of the program
a. Formulation of fundamentally developed general
1) Broad leadership analysis
a. Analysis of present Army leadership
(1 the light of advances in the study of "transforming active light", and related
2) Analysis broad and objectively (an
Army
b. Some outlining factors
c. Definition for some method procedure
2) Experimental or "experimental" approach, rather than the "free" or the
Conventional
(1 Accumulation of the broad and so-
ciology of the Army
(2) Action-research approach and gen-
eral research
1) Role in the Judge Advocate
2) Role of Judge Advocate
3) Method of presenting experimental
4) Problem of individual-under to-
analysis
5) Problem of interpersonal analysis
Problem of space
[illegible] Problem of [illegible] if [illegible] and
[illegible] if [illegible]
[illegible]
[illegible] Problem [illegible] to [illegible]
[illegible] [illegible]

c. Evaluation and improvement of case histories through experimental trial and review

d. Compilation of final set of cases for initial service use

B. Experimental trial in selected naval units

1. Evaluation of case book manuscript and addition of helpful pointers learned from experimental try-out.

C. Preparation of special training movie on the case method.

IV. Putting the Program into Effect

A. Special training for instructor teams

1. Selected teams given professional instruction in case methodology

B. Regular training course for instructors in existing BuPers Instructor Training Schools

C. Distribution of "Naval Leadership Development Manual" and widespread publicity program

D. Demonstration and inauguration of method at key naval units by specially trained teams and showing of special training movie

E. Formulation of permanent policy for case method leadership development of officers.

APPENDIX M

Pointers for use in the preparation of a Case Method Program for leadership development of military officers:

Compilation of Casebook -- "Naval Leadership Development Manual."

1. All cases should be actual real-life episodes gathered under professional guidance.
2. Cases should be catalogued according to types of naval organization involved; the approximate rank and type of job the primary decision-making officer in the case holds, and according to broad case-type categories -- such as specialization, relations with superiors or subordinates, etc.
3. Cases should not be "pruned" to depict only one specific leadership principle.
4. Section on how to draw up case histories locally should permit a constant case revision program through the addition of new cases at the activity level and through revisions to the case section by addition of cases sent in from the field.

Preparation for Case Discussions

1. Discussion leaders should be given special training and should prepare case program carefully in advance. "Outside" leaders with professional training should be obtained whenever possible.
2. All participants should be instructed in proper case study methodology and conference technique to avoid tendency for discussions to lapse into "bull sessions."
3. Restrict groupings to a maximum of 20 officers and do not as a general rule include a superior and his subordinate in the same group. If feasible, group leader should be somewhat more experienced than group members, but he should not be the immediate superior of any of the members if this can be avoided.
4. Discussion sessions should be held at least once a month and not more often than once a week: normally a two hour session appears to be most effective.
5. Meetings should be held where outside interference

will be limited to an absolute minimum.

6. Training aids, such as blackboard, tape recorder, overhead projector, etc., should be at hand, if practicable.

Conduct of Case Discussion

1. Establish student-centered climate at the very first session and remove fear of ridicule or reprimand.

2. Employ a combined inductive and deductive approach with the former leading. "Text" material and principles should be studied prior to case discussions, but in class sessions cases should be discussed first and foremost, with frequent reference to principles as they apply in case problem solutions.

3. Approach to a solution of a case problem should be through an "experimental" process of reasoning, rather than a "free" or a "determinate" approach.

4. The discussion leader must act as a moderator and catalyst but not an oracle with the one right answer. He must make verbal contributions only in order to orient the discussion, or when they are called for by the group process, and then with the understanding that his contributions are to be evaluated the same as those of others.

5. Short lectures, movies, role-playing, and other techniques should be introduced when they seem appropriate to the case discussions.

6. Ample time should be allowed for relatively complete discussion of all of the major issues in each case. However, the time factor should not be ignored, and the group processes should be conditioned to the point that it will monitor its own progress.

7. A written report of the case should be prepared by each group member prior to the discussion meeting in order to assure that each has worked out the problems in his own mind and is prepared to defend his conclusions. As a general rule, however, the case program should not be used as a method for evaluating officers.

8. Maximum participation by all members of the group must be encouraged; the group should be trained to discourage members who talk too much and to encourage the silent ones.

9. Outside reading on substantive topics to be covered in future cases should be recommended and encouraged by frequent reference to material therefrom.

10. The scientific method employed by the individual members and by the group as a unit should seek to answer "why" and "how," and the analytical procedure should first

sort out the distinct elements of the situation and then order and integrate these into a coherent solution. One effective process of analysis follows the following steps:

(1) Selection of the most important human relations problem underlying the case
(2) Explanation of why (1) is the most important problem
(3) Determination of limiting factors which oppose a ready solution to the problem
(4) Proposed solution for basic problem.

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